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# A systems approach, education and the management of public policy.

Reginald J. Pearman

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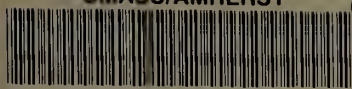
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A SYSTEMS APPROACH, EDUCATION AND THE  
MANAGEMENT OF PUBLIC POLICY

A Dissertation Presented

By

REGINALD J. PEARMAN

Submitted to the Graduate School of the  
University of Massachusetts in partial  
fulfillment of the requirements for the degree of

DOCTOR OF EDUCATION

January

1974

MAJOR: Urban Education

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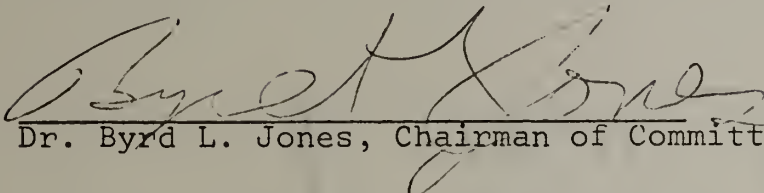
A SYSTEMS APPROACH FOR EDUCATION PROGRAM OFFICERS  
DURING A PERIOD OF POLICY CHANGE


A Dissertation

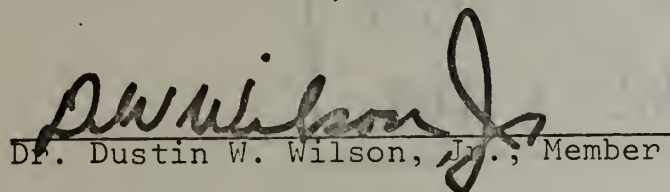
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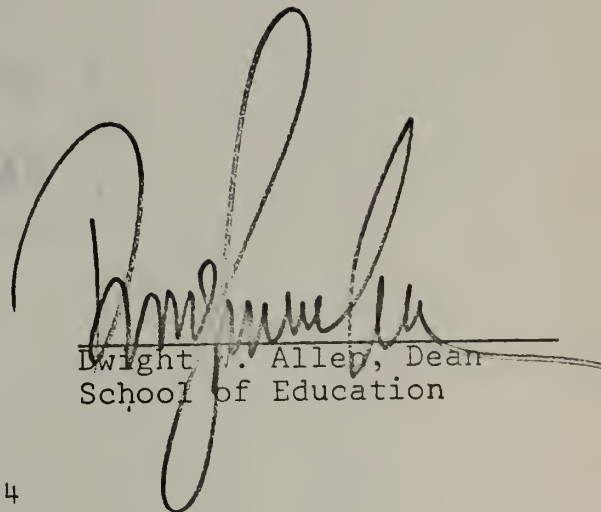
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A Systems Approach Education and the  
Management of Public Policy

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B.A. New York University

Directed by: Dr. Byrd L. Jones

ABSTRACT

Between 1968 and 1972 the Office of Education attempted three programs, education revenue sharing, education renewal and the career education program. These programs were distinct new thrusts and were accompanied by the changes made in the direction of other programs involving the disadvantaged. Essentially the Nixon programs would have replaced the Kennedy-Johnson programs for special categories with non-categorical programs emphasizing vocational training. Had these programs taken hold the Nixon Administration could have claimed to have achieved something which on the face would justify the claim to have created a "new federalism." Instead these programs failed.

By considering in detail the rise and fall of the education renewal program, the faults in management, the weaknesses in policy formation and implementation and the lack of a system concept are revealed. This analysis depends on a rudimentary system model which includes the

forces to be reckoned with in the management of the education enterprise. An examination of this recent history should provide insights and directions for education program officers and others who are required to interpret Federal guidelines, install and maintain programs relating to state education systems and relate to independent colleges and universities.

A system design for a program officer influenced by federalism includes a model of the environmental forces which impact most heavily on the education enterprise. The model includes three components:

The first is a macroscopic view of higher education, state and local education agencies, communities, and political establishments and power elites.

The second includes the dominant contemporary influences on education systems, which are the changing nature of politics, school finance, changes in technology and the labor force.

The third component deals with trends expected to influence education in the future, this discussion includes social reporting, governance and accountability, and regional development.

For the program officer the problem will be to deal with political considerations on the one hand and to respond to the realities which will shape the course of education

in the next decade. Central to this task will be his command of newly emerged and emerging concepts rapidly encroaching on the education scene. In this area the topics covered include systems approaches, urban analysis, P.E.R.T. and P.P.B.S., management in education and lookout functions.

For the future, the success of technical assistance will depend on the relationship existing between bureaucrats at all levels and the academicians. A successful model of this relationship has existed since the days of the Marshal Plan. This model is the one used in international development activities jointly undertaken by the government, the universities and the private sector. The concluding portion discusses the application of foreign aid technology to domestic development in rural and urban settings.

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## PREFACE

In the period of years between 1968 and 1972, the Office of Education attempted three programs which, if implemented, would have been distinct trademarks of President Nixon's Administration. The three programs of promise for Nixon's Administration were "Educational Renewal," "Education Revenue Sharing," and the "Career Education Program."<sup>1</sup> These programs were distinct new thrusts and were accompanied by the changes made in the direction of other domestic programs involving the disadvantaged. Essentially, the Nixon programs would have replaced the Kennedy-Johnson programs for special categories with non-categorical programs emphasizing vocational training.

Educational Renewal was a program which aimed at the consolidation of discretionary programs, the establishment of renewal sites, and local control over priorities. The program highlighted the involvement of chief state school officers, technical assistance by the government, and the British concept of the teacher center.

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<sup>1</sup>The "Right to Read" program is generally perceived to be associated with Mrs. Nixon in the same manner in which the beautification projects were Mrs. Lyndon Johnson's activity.

The Career Education program intended to direct each child in America toward a "worthwhile" career within certain vocational clusters which included most of the known occupations, trades, or professions. The program was perceived as involving early introduction to the cluster and subsequent identification of interest and assessment of capability. A child could, in theory, have the way open for him to go as far as his skill and determination would take him.

Education Revenue Sharing was a plan to make Federal revenues available to states and localities on a basis similar to the manner in which general revenue sharing was achieved. Block grants would be given to include categories of education assistance. The localities would determine the order of priority for the items categorized. Revenue sharing under this plan would, according to its sponsors, put greater control of education in the hands of those best able to determine their own needs.

There has been a continuing debate about whether the substance of the programs are appropriate to the tasks as proposed by the administration. This debate in academic circles has reached the political arena but has been relevant only to the extent that it is supportive of partisan political activities. If these programs had succeeded, a wide swath would have been cut through many layers of educational activity and would have justified the administration's claim for having achieved something like a new

federalism. For this reason the substance or appropriateness of the programs will not be considered except as they form a base for events which determined the outcome of the program.

The failures of these programs will be analyzed in terms of the faults of management, the weakness in policy formation and implementation, and the absence of a systems concept. The basis for the above will be a rudimentary systems model which will include the forces to be reckoned with in the management of education enterprises. This dissertation is specifically written to provide insights and directions for the education program officers who are required to interpret Federal guidelines provided by Congress, install and monitor programs involving state education systems, relate to independent colleges and universities, and finally, to live as a member of the communities affected by what they have done.

# CHAPTER I

## THE NEW FEDERALISM

### Historical Precedents

In theory, there is a clear division between the activities of the states and the activities of the Federal government. The concept of separation of powers over similar jurisdictions was articulated by Chief Justice Taney in the Ableman versus Booth Decision of 1859 when he wrote:

The powers of the general government and the state, although both exist and are exercised within the same territorial limits, are yet separate and distinct sovereignties, acting separately and independently of each other, within their respective spheres.<sup>1</sup>

In practice, however, there has been a tradition of "hand-in-glove" cooperation between Federal and state government. In the past, the initiative was the states and the Federal government enacted legislation which provided Federal assistance to states or local governments to help them to accomplish their objectives.

Federal legislation directly concerned with education included the Federal Extension Service Act of 1914 and Vocational Education Acts of 1917 and 1920. These acts,

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<sup>1</sup>Daniel J. Elazer, The American Partnership (Chicago: University of Chicago Press, 1962), p. 20. As cited in "Making Federalism Work," Brookings Institution, Washington, D.C., 1969.



like Title I of the Elementary and Secondary Education Act of 1965 were operated by states to meet objectives defined by the state.

The patterns began to shift in the 1960's when public policy began to emerge in the context of national interests. After 1960, the introductory language of new legislation contained such phrases as: ". . .maintenance of the national economy. . . ." ". . .is vital to the best interest of the United States. . . ." (Area Redevelopment Act, 1961, Section II), and, "It is in the national interest that current and prospective manpower shortages be identified. . . ." (Manpower Development and Training Act of 1962, Section 101).

This recurring pattern heralded the involvement of government in a vast cross section of American life. The Federal agencies promoted the programs, solicited the proposals, and provided extensive technical assistance. The obvious political concerns polarized around the limit or extension of Federal power. The "extensionists" were overwhelmingly Democratic and terms like "creeping socialism" and "national socialism" were added to the national vocabulary by Republican opponents.

Eisenhower, although deeply committed to decentralization, could not resist the trend of government involvement. He attempted to find a "logical division between the proper functions and responsibilities of the state and

Federal government" through the establishment of the Commission on Intergovernmental Relations.<sup>2</sup> The Commission's Report stated that "the national government and the states should be regarded not as competitors for authority but as two levels of government cooperating with or complementing each other in meeting the growing demands on both."<sup>3</sup>

The "Great Society" was based on a combination of local initiative and national cooperation and sub-headed "creative federalism." Nixonian Republicanism promised a return to decision making on the part of the states. It also promised an "activist view" of his office in which the President "must articulate the nation's values, define its goals, and marshal its will, and to be deeply involved in public concerns."<sup>4</sup> Clearly, the administration would not attempt to fight the tide of "federalism." The only change was the intent to shift emphasis from the Congress as

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<sup>2</sup>Excerpt from the President's Closing Remarks at the Closing of the White House Conference of Governors, May 5, 1953.

<sup>3</sup>Final Report on the Commission on Intergovernmental Relations, House Document No. 198, 84th Congress, 1st Session, 1955, p. 2.

<sup>4</sup>"Text of the President's Speech," New York Times, September 20, 1968. (Report of the radio speech by Richard M. Nixon on his conception of the Office of the President.



leaders of the movement to the office of the President. Mr. Nixon has changed the name of the "new federalism" and has frequently attempted to make the concept take hold under "trade mark" programs.

### The Assumptions of New Federalism

The assumptions of federalism are basically involved with the willingness and the capacity to affect the transition from centralized decision making to decentralized decision making. The process of change from a strong central government to local governments capable of managing their own affairs has been the subject of extended conjecture. There has been little hard evidence that localities have the organizational and managerial skill to manage their own affairs. There is little evidence that Mr. Nixon's espousal of federalism was based on more than a political judgement derived from the input of political advisors. His narrow margin of victory over Mr. Humphrey was no mandate to proceed with federalism. The activities of his first Secretary of Health, Education and Welfare, Mr. Finch, and the stasis of the Office of Education indicated scant evidence for belief in public readiness for self determination.

The self-proclaimed mandate indicated by his second landslide election started a flurry of activity based on "policies" originated and apparently unchanged from his first term. Apparently Mr. Nixon proceeded on the assumption

that he could do anything he chose. He was aided by the close proximity of appointed senior civil servants whose main talents seemed to lie in their capacity to act like servants--willing, unthinking and resourceful.

During his tenure as Secretary of Health, Education and Welfare, Mr. Elliot Richardson set the stage for making federalist assumptions operational. The emergence of Elliot Richardson as the spokesman for the New Federalism has been a curious mixture of "milestones and activities" which have sent shock waves through the bureaucracy. He assumed primarily that by reducing the number of choices made by Congress, better choices could be made. This logic allowed for the notion that the existing categorical programs overseen by Congress were more than it could handle. He stated publicly and politically that "Congress cannot decide how to divide funds among 300 programs and does not purport to do so."<sup>5</sup>

Given this particular rational contrivance, Mr. Nixon could proceed to obliterate the social programs initiated by his predecessors. A program could be eliminated under the guise of helping Congress make better decisions.

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<sup>5</sup>David S. Broder, "Richardson Urges a Simplified HEW," Washington Post, January 10, 1973.

Another benefit would be to weaken Congress as a body by the dubious favor of cutting down its choices. Congress was called inactive, passive, weak and many other things but no one ever called them suicidal. The eventual failure of the plan was assured. Mr. Richardson declared the whole Federal system to be "out of control" and proposed a plan to restore control. His plan called for the elimination of some programs, the consolidation of others, and the decentralization of the rest.

Each of the acts in the plan involves a decision to tread heavily on the "turf" of some very interested groups of people. This is sure to elicit responses which will complicate the job of the program office at some point remote from the decision maker. However, the rationale given by the administration is that:

1. The discontinuance of the programs deemed to be the most inefficient and least productive would free money to be used as cash payment to the undernourished and the poorly housed.
2. The consolidation of certain programs would retain Federal responsibilities for programs which states and localities are found to be incapable of managing. These programs would include as prime components, welfare, health insurance and job training.

3. Decentralization is tied to matters most closely tied to revenue sharing, the uniform grant process, and block grants to the localities. The fact of decentralization provides the "visible federalism" to the constituencies responsible for the "mandate."

Politically, the actions were in response to the "signal" from America's "heartland" that it was time to stop spending money on the "have nots" of the nation. It is difficult to know the extent to which the budgetary deficits were a product of the skills of the presidentially controlled Office of Management and Budget, or the "documented" failures of Great Society programs. The reluctance to spend money was difficult to assess fiscally or programmatically because of the tension between the executive and legislative branches of government.

The development of federalism and its trade mark programs is marked by what might be viewed as some distinct power plays by several of the better known institutional actors. It is essential, from the point of view of persons responsible for the implementation of the public policy, to be aware of the reasons behind the hasty and incomplete plans which were handed down to be made operative.

Federalism did not emerge the first two years of the administration because of the war in Vietnam and the internal spasms it generated. In the last year during Nixon's

first administration, the momentum appeared to gather in the Office of Education in the form of programmatic concepts which, if sold to a powerful president, would have thrust the "architect" into national prominence.

Elliot Richardson emerged as the architect of the New Federalism in view of his having held cabinet rank and his intellectual and organizational skills. His proposal for the comprehensive simplification and reform of the Department of Health, Education and Welfare reflected not only the assumptive design previously described but the design of the proposed governmental reorganization plan as well. His plan incorporated the notions of the free play of market forces, the cutting of overhead and a return to the practice of local choices for priorities. Although the crucial weakness is in the phase in which the decision making power is passed from the national government to the local authorities, Mr. Richardson appeared to be counting on the readiness of the people and the strong leadership of the White House.

#### The Broad Range of the Thrust of Federalism

As federalism evolves under the Nixon Administration it is a dual system which involves a redistribution of revenues and functions from the Federal government and an accommodating reorganization of the Federal government.

Under legislation approved by Congress, the nation's



38,000 units of general purpose government will receive payments for the next five years based on their population, general tax efforts, and relative income.<sup>6</sup> The payments total 30.2 billion dollars over a five-year period with the states receiving one-third of the money. Spending for local government is limited to nine broad areas with education excluded. States may spend their money on anything they wish except to match Federal grant-in-aid programs. This restriction also applies to local governments.

These checks have been mailed out and largely utilized. With the notably minor exception of towns which ceased to exist or were administratively unable to make expenditures, the money has been spent quickly, quietly, and completely.

Although the general revenue sharing procedures have been implemented, the special revenue sharing bill has met severe opposition. The President has proposed lumping together funds for a number of broad general purposes and distributing them to the states and local government with minimal restrictions. This money would replace the categorical grant programs now in operation. Special revenue sharing bills have been sent to Congress since 1971 when

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<sup>6</sup>Revenue Sharing Act of 1972, 92nd Congress, Second Session.

the President asked for six bills to cover urban development, rural development, transportation, law enforcement, education, and manpower training. At present, Congress is considering bills to provide for community development, law enforcement, and education. No special revenue sharing bill has emerged thus far, and it appears that Congress is holding the bill hostage for a variety of reasons yet to become apparent.

Decentralization has not been publicized, but it has been going on as if the whole federalism package has been installed. The concept as practiced in the Office of Education includes the transfer of personnel and programs to the 10 regional offices. The most successful transfer model has been the one developed by the National Center for the Improvement of Educational Systems. The expectation is that NCIES personnel in their field assignments will participate in the activity of a new Federal Regional Council. The FRC, as it is called, is made up of representatives of the Departments of Health, Education and Welfare, Labor, Housing and Urban Development, and Transportation, the Office of Equal Opportunity, the Environmental Protection Agency, and the Law Enforcement Assistance Agency. The theory behind this combination is that a bureaucrat who is closer to the state and local government can develop greater sensitivity to the needs of the people.

Linkage has been provided for, although not necessarily established, to facilitate intergovernmental cooperation. The instrument, a directive from OMB, establishes procedures for review and comment by participants in "planned variation" programs of the Department of Housing and Urban Development. This arrangement appears to be for information only.

Other administrative changes include the establishment of uniform regional boundaries, simplification of regulations, and the claim for reduced processing time. There are administrative activities which are less classifiable but which fall broadly under the mantle of new federalism. Among these is the extension to states of greater welfare options and the attempt to establish the Highway Trust Fund--which failed.

To summarize the moves toward federalism, it emerges as a patch work of public declarations of intent to federalize, influenced by a resistant Congress, placed in a field setting of uneven performance by local officials, and managed by a bureaucracy which spends too much time conforming after-the-fact to images conjured up for it by policy makers.



Federalism's Impact on Health,  
Education and Welfare

In the present administration, the impact of federalism on the Department of Health, Education and Welfare will stand or fall on the combination of discontinuance consolidation and decentralization functioning as the driving force behind an idea known as the Mega Plan.<sup>7</sup>

The plan proposed that HEW activities be organized around three basic conceptual positions, all of which stressed education activities. The three activity sets are:

1. Assistance to families and individuals
2. Special revenue sharing in Health, Education and Welfare
3. Capacity building

The summary and analysis of the Mega Plan helps to explain the rationale for all of the amendments proposed to the 92nd Congress. The Plan influenced almost word-for-word statements and proposals made by other high officials of the Department of Health, Education and Welfare.

Assistance to families and individuals

Education plays a major role under assistance to individuals and families. The Mega Plan expressed the belief

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<sup>7</sup>"Highlights of the Education Amendments of 1972," Department of Health, Education and Welfare, Office of Legislation Document (Washington, D.C., 1972).

that a "freer play of market forces will best achieve Federal objectives in post-secondary education." It also proposed that no American be denied opportunities for post-secondary education because of lack of ability to pay, and it suggested tackling the problem in three ways:

1. States were to be given matching grants (on a four-to-one state-Federal ration) "to induce them to devote a larger share of their higher education budgets to student aid." The purpose of this approach was to even out the competition between state-supported institutions and privately supported institutions by encouraging states to lessen the financial support they now give to state-supported institutions. This would cause these institutions to cover education costs through higher tuition charges to students, thus diminishing the difference in cost between education at a state-supported institution and a privately supported one. In this way, the HEW proposal sought to diminish or eliminate one of the artificial distinctions between these institutions that interfered with the free play of "market forces." Under this program, students would be free to use financial assistance to attend institutions outside state boundaries.

2. A basic grants program, which the proposal described as "redistributive aid," would support low income students for a portion of their post-secondary education, the portion to be determined by (a) family income, (b) the cost of the education, and (c) length of the education. The higher the family income, the higher the cost of education, and the greater the length of the educational program, the more a student would be required to borrow. The grant program, in short, established a minimum floor, beyond which the student must make up the difference, either through his family, his own efforts, or through borrowing.
3. A guaranteed loan program, described as "non-redistributive aid," completed the higher education reform picture. The loans were covered by premium-financed insurance that "pays all or part of a borrower's scheduled repayments if his income falls to levels which would make full repayment extremely burdensome." The amount that could be borrowed is to be increased to \$10,000 and \$20,000 for undergraduate and post-graduate study respectively, and standard loan repayment period is to be extended to 15 years.

This approach to post-secondary education allowed for the elimination of most of the current programs of higher education assistance, "substantially" changed the relationship between "the Federal government and higher education," and allowed "the influence of market forces" to become "pronounced."

(The other provisions of the Plan in terms of assistance to families and individuals had to do with health and welfare. Under health, a National Maximum Liability Health Insurance Plan replaces proposals now before Congress as well as Medicaid. Its basic design is described as follows:

(1) Its coverage is universal and therefore not directly connected with the labor market; and (2) it protects a family or an individual only against those financial risks which would substantially alter their lifestyle.

The welfare reform established a Federal minimum benefit level; strong incentives for "available" family members to work; reduction of need for manpower services and job creation and no need for child care by classifying as available for work "only heads of two-parent families and heads of one-parent families with no child under age 15;" public service jobs [with strong incentives to take jobs in the regular job market] when the job market does not provide work.)

### Special revenue sharing

Education fitted under special revenue sharing; this proposal built upon and extended the 1971 proposal. (The \$2.9 billion in the 1971 proposal is increased to \$3.8 billion in the Mega Plan, which consolidated more than 35 existing programs in elementary and secondary education.) There are to be five "earmarks" under the new proposal: (1) disadvantaged, (2) handicapped, (3) school aid for federally impacted areas (SAFA A), (4) occupational education, and (5) supportive services. SAFA A refers to money given to communities whose schools absorb large numbers of children of personnel living on Federal property and hence not contributing tax dollars to the support of schools. Supportive services combines a number of existing authorities and allows the money to be spent at the discretion of the recipient, thus enabling them should they wish, to continue to support activities these funds now support.

Transfers up to 30 per cent are permitted out of one area to another with the exceptions of disadvantaged and SAFA A. Distribution formulas are based upon (1) the number of school age children in the state who fall below the Orshansky-Social Security poverty index; (2) the number of children in a state whose parents live on Federal property; and (3) the number of school age children in the state, modified by state per capita income. Disadvantaged



and SAFA A money passes directly through to the districts; the distribution of the remainder is up to the states.

The proposal indicated that "education is an area where states have strong incentives to disobey Federal regulations" and suggested that "the kinds of strings we place on the Education SRS package are particularly important." These include being subject to the provisions of the Equal Educational Opportunity Act; the maintenance of open-books of expenses and other information; and (with the disadvantaged funds), comparability requirements of Parent Advisory Councils and a minimum of three-fourths of the funds to be spent "on the teaching of basic skills including reading and math."

### Capacity building

In the perspective of the Mega Plan, the proposals for assistance to individuals and families and for special revenue sharing in health, education and welfare reduce, reform and simplify the Federal system, which is "out of control." Power and decision making is where it belongs, the Federal government does not promise what it cannot deliver (either programmatically or fiscally), and budgets no longer threaten to escalate exponentially. What now assumes major importance is HEW as "a purveyor of innovation and change," as "an innovator, experimenter, demonstrator, developer, and evaluator, not as a service provider." These,

then, are to be the "primary" Federal roles for DHEW "over the next several years."

In the performance of these roles, the Mega Plan saw three kinds of activities: First, the plan suggested that the free market flow may not always produce the appropriate mix of manpower needed in America. It suggested then a Special Manpower Development component of capacity-building functions. The proposal indicated that HEW's performance in this area in the past has been less than adequate, in part because of the fragmented legislative authorities and in part because the program activities have not attacked the real nature of the problem. Furthermore, the report argued that the amount of money spent on manpower development has been considerably in excess of need.

In education, "sufficiency of educational personnel is not a problem at this time." Even in the so-called shortage areas like teaching of the handicapped, vocational education, math, science, and early childhood education, the shortages are decreasing; moreover, the evidence suggests that the cause may not be in the lack of interested personnel or training programs, but an unwillingness of school districts to pay for specialized training or specialized personnel. The document agreed that "there is a shortage of minority teachers," but suggested that "this is not a true shortage to be addressed by manpower policies, but a regulatory problem" and pointed out that "the lack of new job

openings resulting from the general surplus makes it very difficult to increase minority proportions without displacing existing teachers." On the other hand, the proposal stated: "We see some reasons to have levers to upgrade the quality of teacher training institutions;" and "capacity building efforts to upgrade the quality of teaching must generally involve the schools themselves." Indeed, the report pointed out, "in many areas the schools must change for better prepared teachers to be effective." The report specifically mentioned the need for "new models of practice teaching" that provide for "prospective teachers to spend substantial periods in working in schools while still affiliated with their training institutions."

The report included a chart with a total of \$83 million spent by OE on manpower development (of which \$11 million is attributed to EPDA), a sum that "should be phased down substantially." The proposal suggested a reduction from \$83 million in FY 74 to \$20 million in FY 78, with "the reduced level of support. . . primarily in the form of incentives for institutional innovation and improvement." The Mega Plan did not specify the kind of legislation needed to tackle the manpower problem beyond suggesting that much of it could be handled through manipulating part of the student assistance grant/loan structure and arguing for "new authorities more realistically targeted to the causes of real



shortages problems than at present." These authorities should include "regulatory powers addressed to licensure and credentialling," and would "prohibit general training support."

A second major component of capacity building is described as Market and Services Development (MSD). Programs under these headings will seek:

to export not only newly proven techniques (in which cases they overlap with R&D), but also to redirect existing service delivery systems which fail to use current resources and current techniques to meet client needs, and to create new delivery mechanisms where reform of existing mechanisms would be insufficient.

In short, the market and services development component recognized that there often exists a gap between what society can deliver and what it is delivering, and that there are mechanisms needed to close that gap. The proposal was critical of existing efforts in this field, principally because existing programs had been authorized on a "problem-by-problem basis" and tend to mix up research, market and services development and general support, in the end performing none of these functions well. New legislation would need to provide for flexibility, comprehensiveness, no state formulas; mandate institutional non-dependency; to be strictly time-limited and avoid subsidizing any cost beyond start-up; and to focus on change instruments that "would include knowledge, dissemination, technical assistance, demonstrations, staff training, expansion grants, start-up

grants, evaluation, and similar activities alone or in combination."

A major problem in reforming MSD activities is our overall lack of knowledge as to what delivery changes are in fact desirable enough to be worth their implementation cost in specific areas, and lack of knowledge as to how to implement such changes successfully.

The document proposed six areas for MSD:

1. Loan guarantees for public facilities
2. Post-secondary education
3. Social services
4. Elementary and secondary education
5. Health services
6. Services integration

In the section on post-secondary education, the document made the point that "higher education is substantially private rather than public" and that

higher education is farther along in MSD than other functional areas since convergent thinking over the last several years concerning the need for reform and reassessment has led to the recent enactment of a post-secondary innovation authority, which essentially meets our MSD concept.

The Mega Plan suggested that this authority will focus most intensively on reducing the fundamental institutional rigidities of a system which is largely tied to the campus, classroom-lecture, professionalization, sequential-attendance model.

The document listed EPDA "higher education institutes" (\$8 million) as part of five other authorities impinging on this area, called for the elimination of all but the

innovation authority and having that authority rise to \$75 million in the FY 74-78 years. (The total in all authorities now is given at \$147 million.)

The section under elementary and secondary education called for the replacement of 13 existing developmental activities--including \$38 million for Teacher Corps and \$2 million for Education Renewal--with a single, consolidated MSD authority. The report argued: "Elementary and secondary education is perhaps the clearest case in which the current proliferation of quasi-developmental programs has hampered change as much as encouraged it." The report indicated that "the structure of our public education system discourages the introduction of new techniques," and suggested that "local reform should be based on validated instructional and management practices produced by NIE and others." Under a MSD approach, schools could receive assistance with the "necessary costs of change" but in no cases could they receive, as an "extra supplement, continuing salary costs through a minimally developmental program." The proposal suggested that \$300 million annually from FY 74 would allow some expansion in current approaches for developmental activities if continuing service subsidies were carefully eliminated.

The third component of capacity building is Research and Development. The report did not suggest a reduced

Federal role in R&D efforts. Rather, "the Federal government should remain the primary funding source and resource allocator for R&D activities." The content of R&D efforts would undergo no significant change--"assuming we are now doing the research appropriate to our current program management roles." In other words, what topics are emphasized in R&D efforts should have a close correlation with the needs that derive from HEW activities in other areas. The report indicated that "R&D and market and services development activities are difficult to distinguish at the point where R&D results become ready for dissemination," and argued that "a major thrust in R&D must be on dissemination of results."

Other New Activities: Planning,  
Advocacy, Data Systems and Regulation

An appendage to the Mega Plan indicated that there are

other functions in the Department which will remain, albeit in somewhat new forms, once reform and simplification come into being. These functions included: planning, advocacy, data collection and classification, evaluation, and regulation.

The appendage made the following points:

1. "Strengthening of the planning capacity of state and local governments' planning continues to be a requirement," but program planning will cease to be the Department's greatest emphasis, for, with reform, "stimulating comprehensive planning (in sub-nation governments) is a more

valid Federal role."

2. With a reduction of categorical programing, steps need to be taken to safeguard the interests of five major groups (handicapped/disabled, aged, disadvantaged children and youth, minorities and women, and poor/welfare recipients and migrants). Advocacy for these groups is to consist principally of coordination and communication among Federal agencies and among these agencies and states and localities to assure that effective services are delivered to the groups.
3. Evaluation and data systems. The Department must "maintain a significant diagnostic function: determining what human problems are, what currently is being done to resolve them and what gaps are, what currently is being done to resolve them, and what gaps exist. Such information drives research and planning, is essential for regulations, and can shape the nature of Federal assistance."
4. Regulation. "We believe that decentralization of decision-making to state and local governments requires that the Department develop effective ways to control a limited number of essential activities, without imposing a vast



regulatory structure that contravenes flexibility and simplicity inherent in HEW reform."

The Mega Plan, as one can see, is not just a model for the Department of Health, Education and Welfare. The Mega Plan is consistent with a proposal for government organization which divides the functions of government into four main categories as shown on Chart A. The consolidation of services and authorities is designed to meet sets of needs. The model shown will also suggest the plan for re-organization of state and local governments. The operation of the Mega Plan combined with two kinds of revenue sharing will alter the functions of state and local governments and establish a basis for the corresponding modification of form.

A program officer can anticipate a leadership role in which he will have a brand new set of expectations to meet. The new federalism in education is an unassembled reality and the sum of that new set of expectations is that people will be looking to the program officer to sort out the parts and direct the assembly of the model.

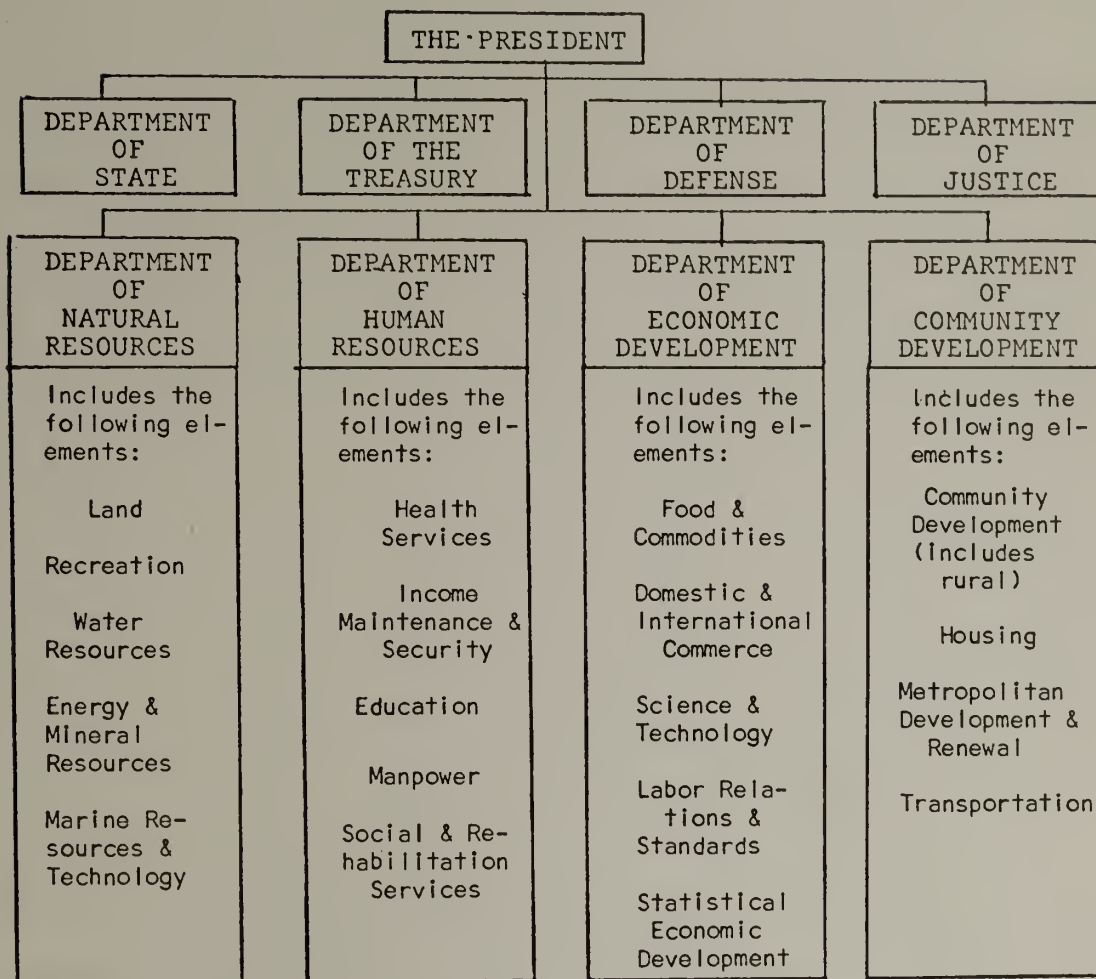
In respect to this, Dr. William Smith, Associate Education Commissioner, said:

Whatever the forms of delivery of Federal resources, actors in the new dramas must avoid romanticizing. . . . They must in fact come to grips with the tangible realities of a new role for the Federal government vis-a-vis states and municipalities, new relationships among the states as well as between the states and their



# CHART A

## PROPOSED GOVERNMENTAL REORGANIZATION PLAN



own subordinate elements. . . .<sup>8</sup>

An operational framework is thus established for a new set of competencies for program officers functioning in a climate of accountability and performance which will be further elaborated.

### Reactions Beyond the White House

The primary reaction to federalism must be considered in terms of the Republican administration and a Democratic Congress. Earlier a reference was made to a view by Mr. Nixon of a presidency in which the Office of the President would assume the dominant role in leading the federalism movement.

Incursions into the domain of the Congress appeared to be mandated by Mr. Nixon's election victory and the power of the White House to intervene was heavily apparent. Political observers were approving or appalled, depending on their points of view. There were "grey areas" into which Mr. Nixon trod boldly and Congress in many cases appeared complacent. It is important at this point that a program officer be familiar with the extremes of opinion expressed and be able to orient himself or herself with respect to

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<sup>8</sup>Excerpted from a presentation by Dr. William Smith to the Staff Utilization Panel at the AASA Convention, Atlantic City, New Jersey, February 26, 1973.

the position of the locality to which he may be assigned. Although the well known "Hatch Act" prohibits political activity, it is frequently used as an excuse for political insensitivity.

Joseph Kraft wrote an article for the Washington Post in which he described changes in the nature of the "great majority."<sup>9</sup> These changes reflect lessened sympathy for the plight of the "have nots" in American society. "Middle America," he asserts, "wants to cut Federal bureaucracy and rejects higher taxes to pay for Federal programs for the disadvantaged." Although this attitude may reflect the election of a spokesman for the constituency rather than a change in its attitude, and although there are defense expenditures which would save more taxes if cut, it is a position which is easy to assimilate, articulate and to sell to people who are looking for a rationale for simple inhospitality. Mr. Kraft cites Mr. Nixon's readiness ". . .to see [that] those who do not do well in life's race--whether Vietnamese peasants or Blacks--pay the penalty for failure."

Benjamin DeMott, writing in the Education Edition of the Saturday Review describes ". . .the widespread belief that Federal educational programs over the last 10 to 15

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<sup>9</sup> Editorial, Washington Post, January 21, 1973.

years have not produced results commensurate with the investment." He takes note of the administration's opposition which is expressed in terms of the recurring theme of waste and the need to simplify. Mr. DeMott makes the suggestion that if the administration really wanted to save money and red tape and to be effective, it might do so by utilizing the knowledge it has already paid for and has on hand in the Office of Education. He agrees with the contention that huge sums should not be wasted on untested ideas and proposed that such wastefulness be avoided by spending smaller sums of money on ideas which have been field tested. The vehicle for this activity would be a networking system involving public schools, communities, boards of education and institutions of higher education.

The concept is consistent with the proclaimed characteristics of federalism in that it provides processes and a methodology for local solution of local problems. This may be the disqualifying fault of the concept referred to as project open. The project is concerned with a set of management considerations which are in advance of the state of the art of "federalism." There is little political capital to be gained for the administration by abandoning conceptual rhetoric long enough to end one of the faults it finds with current Federal programing.

Nonetheless, the article by Mr. DeMott expresses the feeling of a number of practitioners who would prefer

to see an end to the political decisions and the advent of decisions by educators and other "consumer" groups as major determinants of education policy and practice.

The last point of view to be presented as representative of the thoughts of substantial groups comes from a series of articles by a team of Washington Post staff writers who present a journalists' investigation of the subject of federalism.<sup>10</sup> Although the editorial policy of the Washington Post is by no means pro-administration and the series of articles is decidedly negative, they reflect the pattern of thinking which has appeared in a broad cross-section of media response to the new federalism.

The study examined state and local experience with "the forgotten revolution" across the country. The writers claim "ample evidence of both the promise and the problems of the new federalism." Statements indicate that many officials feel that they were sold a "bill of goods." This is echoed by the words of Boston Mayor Kevin White who is quoted as saying:

I find myself chagrined that I don't know now what I have except that I have less money in the short run and probably, the prospect of less money in the long run. . . . I'm one who fought for the basic tenets of new federalism in the form of general revenue sharing for the past three years.

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<sup>10</sup>Lou Cannon and David Broder, "Power to the People?," Washington Post, June 17-19, 1973.



This theme is recurrent throughout that phase of the series and indicates the dissatisfaction of mayors who supported revenue sharing only to find that the funds merely replaced money lost when previously funded programs were cut back or eliminated as "wasteful" or "unproductive."

An insight on the quality of the management of federalism by politicians is provided by the Governor of Rhode Island who stated that: "The transition period that has been provided is very inadequate and the administration that is trying to transfer responsibility to governors and mayors is failing to take advice from them."

The Federal Regional Councils were described as unworkable because of widely varying jurisdictions and discretions allowed the regional officials by the various departments. The decision to proceed with the formation of the Federal Regional Councils thus appears to have been inspired by a wish to provide the appearance of achievement of announced goals.

Other evidence of the managerial shortcomings in the advancement of the new federalism as public policy comes from the disclosure that four hundred designated units of local government cannot be found. The administration's view was that any unit of local government, no matter how weak or remote, was entitled to a share. The openly political connotations of this view was verbalized by Vice President Agnew's observation that: "In short, obviating



the distribution of money to small inefficient forms of government would have aroused enough political hostility, possible, to defeat the program." Mr. Agnew's candid observation suggests a paradoxical choice for a program which is proclaimed by its backers as the way to end waste and inefficiency. Political expediency usually prevails over good management; this action illustrates the truth of the statement.

For the program officer assigned to give technical assistance in this atmosphere of conflict, distrust and disappointment in and out of Washington, there are few viable alternatives. What is most needed is the capacity to look beyond the rhetoric without being crushed by the reality and to accept the fact that the time-table of change does not correspond with the election practices of men in public life.

## C H A P T E R   I   I

### THE SPECIFIC IMPACT OF FEDERALISM ON THE U.S. OFFICE OF EDUCATION

Ideas such as New Federalism begin as a slogan and frequently end as a slogan when the ruling party tries to implement the idea in the face of bureaucratic and political opposition. There are three basic reasons why the bureaucracy and the politicians would oppose a policy: (1) The policy is threatening to something seen as worth keeping, (2) The idea is not a good one, or (3) The idea is poorly implemented. In the case of federalism, the combination of the explicit threat and the remarkably bad organization and management of the attempt made it easy for the bureaucracy and the politicians to disestablish federalism as envisioned by the administration.

The dynamics of federalism can be facilitated, subsidized and publicized, but they cannot be manipulated to conform with the term of office of an incumbent president. There is a difference between devising a policy and the packaging and delivery of programs which highlight or which exemplify the policy. It may be true that the sum of all of the changes in social, technological and political spheres will equal federalism, but it is not true that the mechanisms inherent in the process can be made to run

faster than their capacity.

### Structural Changes in the Office of Education

The changes made in the structure of the Office of Education have been generally related to the new functions projected for the agency. The specific linkage of structure and function has been fragmented, disjointed and non sequential. This lack caused large programmatic components, both intended and existing, to flounder. Tension, conflict, ambition, suspicion and every other symptom of organizational dysfunction which can be manifested by staff and line elements in the agency was also generated by these changes.

As the Office of Education under a Commissioner approached Nixon's inauguration, the creation of the Office of the Assistant Secretary came as a departure from the plan envisioned for the educational component of Health, Education and Welfare. In the design of the planning, programming, and budgeting system for the Department, only one component for education was mentioned. When then Secretary Elliot Richardson reported on the HEW Potential for the Seventies,<sup>1</sup> there was no inclusion of a National Institute for Education (NIE) as a part of that potential. When U.S.

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<sup>1</sup>Department of Health, Education and Welfare Publication, Responsibility and Responsiveness, The HEW Potential for the Seventies (Washington, D.C.: U.S. Government Printing Office, 1972).

Commissioner Sidney Marland gave his Annual Report<sup>2</sup> there was only a hint of a NIE. There was, however, no hint of a cabinet level position for education in any public utterance by either of the two leaders.

The law establishing that position was in the set of Education Amendments for 1973 and was passed by Congress in the last quarter of Fiscal Year 1972. The legislation establishing the NIE was also passed in the last quarter, and in a double swearing in ceremony, Dr. Sidney Marland became the first Assistant Secretary of Education, and Dr. Thomas Glennan became the first Director of the National Institute of Education. Dr. John Ottina was later confirmed as Commissioner of Education. The sudden appearance of the new office with USOE and NIE comprising its two divisions occurred amid unofficial talk that the Office of Education was through as an agency. The rumors were that the quick approval of the new office was as a vote of "no confidence" by Congress for the Office of Education. In any case, the two division structure was achieved by transferring the National Center for Research and Development, the National Center for Educational Communication, and the Experimental Schools program from OE to NIE. The remaining programs

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<sup>2</sup>Sidney Marland, Annual Report of the U.S. Commissioner of Education, Fiscal Year 1971. Submitted to The Congress, March 31, 1972.

were largely those scheduled to be consolidated as a part of the move to achieve federalism as organized under the Mega Plan.

The creation of the two new organizational entities as a means of cutting red tape and bringing government nearer to the people is a questionable managerial achievement. The establishment of the National Foundation for Post Secondary Education at the same time suggests that the decision represents an independent policy decision with respect to education being made by Congress. The effect of this decision on the Mega Plan is disruptive due to the fact that it not only ignored education revenue sharing but laid the groundwork for action in a new direction.

#### The Uniform Grant Process

Historically the process by which grants were awarded by the government varied widely within the Department of Health, Education and Welfare. The great variety made accounting extremely difficult and reasonably accurate reports to Congress all but impossible. In theory a uniform grant process would make the formulation of budgets easier, allow the agencies greater flexibility, and establish a predictable system of reporting to the Office of Management and Budget.

The Uniform Grant Process is known among program officers as A-102. Its purpose coincides with the planning,



programing and budgeting system mentioned previously. It is designed for automated data processing of applications and is foreseen as a way to speed the processing of proposals from local governments. It is a confusing document which, although claiming uniformity, has so many exceptions to its use and so many programs and projects excluded because they remain uncoded, that there is only scant possibility of its widespread comprehension within HEW or its use by the local governments.

The USOE Contracts and Grants Division has used a three line budget request which depends on audit and control by the grantee. It assumes honesty by the grantee and has an equally simple way to recover funds from those who are not. The probability of non renewal of the grant for non performance is much higher and is a more pragmatic basis for the expectation of performance.

In any event, the Uniform Grant Process is a compilation of more than 500 items which impose a set of Federal controls on grant recipients which negate all of the claims made for Nixonian federalism. It is far from simple: paper work is in some cases increased ten fold, the "red tape" frequently referred to by the advocates of Nixon's federalism has been increased, and many local governments just do not have the know-how to handle the paper work required. In Attachment G, titled: "Standards for Grantee Financial



Management Systems," grantor agencies are encouraged to "make suggestions and assist the grantee in establishing or improving financial management systems when such assistance is needed or requested." Attachment G assumes the existence of sufficient numbers of experts in budget and fiscal analysis to serve the needs of the Federal bureaucracy as well as the local ones. The assumption begins to fall apart when it is realized that there are 2,604 employees of the Office of Education of which there are 705 professionals with a total number of projects to monitor in the tens-of-thousands, exclusive of new grants forthcoming. The Uniform Grant Process was ordered into operation effective January 1, 1973.

#### Education Revenue Sharing

The Education Revenue Sharing bill is an administration bill which is conceived in the spirit of Nixonian federalism. The bill calls for the consolidation of grants and the local option of selecting priorities. Revenue sharing as proposed in 1971 called for a funding level of 3.0 billion dollars of which 2.8 billion dollars was to come from existing programs. As noted in the Mega Plan, the states were suspect. In practice, the money is given directly to the localities for programs serving the disadvantaged while monies given to the state have what the language of the Mega Plan refers to as "strings" attached. The

strings are relative to the Uniform Grant Process which calls for open books, comparability requirements, parent advisory councils, and a minimum of three-fourths of the money to be spent on reading and mathematics.

While the structure of the Office of Education was being changed, the revenue sharing bill was held up by Congress. This created an action vacuum among the various divisions of OE. Revenue sharing appeared to shift the discretion from the Office of the Deputy for Development and into the control of the localities, but it merely decentralized an iron clad set of rules and regulations which anchored the Federal presence more firmly than ever. The range of decision making open to the states was so limited that it left little more than "yes-if" and "no-when" kinds of decisions to be made.

The states were not lured by the illusions generated by the administration's public relations machinery, and chief state school officers noted the volume of restrictions included in the Uniform Grant Process. Milton Shapp, Governor of Pennsylvania, referred to the system as a "hodge podge cash flow sheet. . .on which cash paid out for long term investments is normally jumbled with payments for operating expenses."<sup>3</sup> Wilbur Mills, commenting on

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<sup>3</sup>Milton J. Shapp, "The Need for Increased Public Investment," The Annals of the American Academy of Social and Political Science, September, 1971, p. 43.

Federal Revenue Sharing as proposed by the administration emphasized the fact that "revenue sharing divorces the joyful privilege of spending public revenue from the burdensome responsibility of raising it."<sup>4</sup>

The assumptions of revenue sharing as practiced by the administration, despite the pro federalism rhetoric, are that the government knows what it is doing but that the states and localities do not. The problem with the assumption is to convince so many people of this that state legislatures would be forced to respond to public opinion rather than their own skills. Ulmer pointed out the wide diversity in the way states exploit their revenue sources. He stated that 13 states have no personal income tax; six states have no corporate taxes; and five states have no sales tax. Ulmer concludes that the real difference in the way states support education is. . . "due to variations in their willingness, their social consciousness or their political, administrative, and moral maturity."<sup>5</sup>

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<sup>4</sup>Melville J. Ulmer, "The Limitations of Revenue Sharing," The Annals of the American Academy of Social and Political Science, September, 1971, p. 53.

<sup>5</sup>Ibid.

Sharing concept appeared a dubious base for the installation of programs offered as policy. Education Revenue Sharing is a persistently recurring notion which in view of its reception by Congress might well be allowed to die quietly. But, Education Revenue Sharing is tied to other programs of promise which would allow, if developed, the administration to claim to have made new federalism functional.

On March 19, 1973, Casper Weinberger forwarded the latest version of education revenue sharing to the Speaker of the House. It was called the "Better Schools Act of 1973." This bill still claimed to meet the needs of state and local school systems and to provide them with "needed flexibility and responsibility." On the other hand it continued to prescribe the formulas for distribution and accountability to the Federal controls listed and continued to categorize what the funds would be used for and in what percents. Mr. Weinberger took pains to advise that "enactment of this proposed legislation would be in accord with the program of the President." Among the findings and purpose of the bill were "that prior programs of financial assistance for elementary or secondary education are too narrow in scope to meet the needs of state and local school systems." The narrowness of scope will be remedied and education will be strengthened, it was claimed, "by consolidating certain elementary and secondary grant programs

through the provision of a share of the revenues of the United States." It became clear that the administration intended to abolish the great bulk of discretionary programs so as to leave the administration's programs free from competition for attention.

### Education Renewal

For the plan of Education Renewal to have worked, it would not have been necessary to have an operative revenue sharing program in place. Coinciding with the details of the Uniform Grant Process, Renewal offered an organizational framework, a needs assessment system, and best of all, some start-up money. The funding of Educational Renewal sites could have had the effect of attracting the Special Revenue Sharing dollars forthcoming from the government.

The Mega Plan indicated government attention to the disadvantaged, the handicapped, state aid, occupational education, and supportive services. These five Mega Plan education thrusts left a gap which would not have been filled by the Revenue Sharing program. The gap was described in terms of the need to link the Revenue Sharing program to the National Institute of Education. Renewal was seen as consistent with the President's 1970 message on reform. Renewal offered retraining to offset the proclaimed teacher surplus and the dissemination of proven



education practices and new ideas developed by NIE. A fringe benefit from the Educational Renewal concept was the development of renewal sites and renewal centers. The sites which were geographic areas, and the centers which were physical facilities, would be good places to send decentra-  
lized Federal employees, thus maintaining consistency with the idea of "returning government to the people." Renewal figured to be a winner either way: with Revenue Sharing or without Revenue Sharing. Both Democrats and Republicans could lay claim to the success of the idea, and the political selection of renewal sites could also be to the advantage of both parties. That Renewal should have failed is attributable to what might be described as the determination not to succeed of individuals who were in positions to know better.

### Career Education

Career Education has failed to make it big for reasons other than the merit of the idea. Career Education has been attacked by minorities as a potential "track" system to steer non whites out of higher education. It has been attacked as intending to encourage a "work" ethic at a time when young people are seeking other meanings for their lives. It has been attacked as intending to demean liberal arts colleges. It has been related to Nixon, the Republican business leaders, and the high cost of labor.



The unions, the Urban League, and the liberal arts directors have all spoken out against Career Education. On the other hand, the prestigious Carnegie Commission is supportive of Career Education and its instrument of achievement, the two-year colleges. Dr. Marland, the leading spokesman for Career Education and the presumed author of the idea, tied community colleges and careers in a package in an article appearing in the in house magazine of the U.S. Office of Education.<sup>6</sup> Dr. Ottina's espousal of Career Education is probably more the result of having inherited the concept along with the job than any appreciation of Career Education per se. At the program level, the managers are preparing for the possibility that it might be funded. Structures, their interrelationships, the roles of groups involved, are being projected officially and unofficially, individually, and collectively. Political uncertainty is the variable which accounts for a great amount of time spent by the program staff tooling up for a range of possible directions. The possibility of funding a program because it is the least offensive is one for which program people must always be prepared.

The merits of Career Education may be arguable,

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<sup>6</sup>Sidney Marland, "Career Education and the Two-Year College," American Education, March, 1952, p. 11.

and indeed they are being argued, but the reasons for the present failure of Career Education were enumerated by the present Commissioner, Dr. John Ottina. In a speech on the subject of Career Education, Dr. Ottina allowed that:

The four National Career Education models have been transferred to the National Institute for Education. . . . Dissemination functions related to Career Education have been transferred. . . . It is true that the Office of Education . . . will undoubtedly operate in a budget situation for the remainder of this Fiscal Year and the next year as well. . . .<sup>7</sup>

Simply put, the transfer of NIE means that that agency could not organize itself and four models of Career Education at the same time. The "budget situation" was explained in a bulletin from the Office of Legislation for OE which noted that the NIE budget was cut to a figure below its current obligations. Further clarification came from a notice in the Education Daily News of January 12, 1972, reporting that no funds are included for Career Education in the Fiscal Year 1974 budget. The budget figure for Fiscal Year '74 is pegged at 14 million dollars. Congress is making its attitude toward the administration's initiative very clear. Career Education is a casualty of an untimely administrative decision coupled to Congressional non-acceptance.

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<sup>7</sup>John Ottina, "Career Education, Alive and Well," Address before the Conference on Career Education: Implications for Minorities, Washington, D.C., February 1, 1972.

### The Right to Read

The Right to Read Program was first announced in September 1969 by former Commissioner James Allen with a great amount of publicity but no money. At the time funds for the program were obtained by a process called "laying on." A lay on is an assessment made on funded programs to divert a portion of their money for use by the program without funds. The Right to Read Program was under-funded with 12 million dollars, but it got great mileage from the fact that Mrs. Nixon patronized the program. The office made an estimate that 500 million dollars was actually being spent on Right to Read activities. This impressive figure is arrived at by asking all program managers to estimate the dollar amount of reading related activity occurring in their program. By this method, for example, the cost of a reading component in the training of aids in the Career Opportunities Program would be reported as a Right to Read related activity. The definition of Right to Read relatedness is highly subject and subject to how the computator feels at the time. The Right to Read Program is a very good vehicle for political impact and has proven its appeal despite the fact that only 244 schools have programs. The states who have signed "Right to Read Agreements" pledge themselves to utilize "Right to Read concepts." Eleven states have done so and by 1974 all 50 states are expected

to participate. Right to Read is an excellent "Bread and Butter" public relations vehicle which is even more in tune because it is directed by a female.

### Summary

The Office of Education has a remarkably large amount of its resources taken up by activities which are superimposed on the program staff because of the preoccupation with a catchy phrase which cannot be made to stick. The New Federalism is neither new or federalism. A program officer in this situation is either devoting time to pointless, disjointed, ephemeral busy work on projects which come off the drawing boards stillborn, or he is trying to coax some rational purpose out of the programs untouched thus far by the attempt to put the President's brand on American education. The dilemma of a program officer in the situation created by the attempt to further politicize the activities of the Office of Education are summed up in excerpts from a memorandum by a program manager to his superior:

My three years in the Office of Education have shown BEPD/NCIES to be a non organized group of programs. This fragmented condition has prevented the development of a bureau wide mission. From a functional point of view, this non organizational, non mission condition has separated each program and forced each program manager to perform as an entrepreneur in the good old capitalistic tradition.<sup>8</sup>

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<sup>8</sup>Memorandum to Dr. William Smith, Acting Associate Commissioner, IES, from D.W. Wilson, Jr., Chief I&E Branch, September 12, 1972, Subject: "Brave New World."

Needless to say, the three year period referred to is the period of time in which the three programs of promise made their appearance. The next chapter will detail the rise and fall of the New Federalism programs which nearly succeeded, and will analyze its failure in a systems context.

## C H A P T E R   I I I

### A STUDY OF THE EDUCATION RENEWAL PROGRAM

Part V of the Higher Education Act of 1965 contains the title "Education Professions Development." Referred to as Title V by those familiar with the law, this title has as its purpose "To improve the quality of teaching and to help meet critical shortages of adequately trained personnel."<sup>1</sup>

Paragraph Two of the General Provisions and Statement of Purpose refers to "providing a broad range of high quality training and retraining opportunities, responsive to changing manpower needs." The language of the law ultimately describes a group of concerns which Congress viewed as vital to the improvement of the "quality of teaching" when it passed the law and authorized the funds.

The title, the sub-titles, and the parts enumerate and specify a set of mandates to the President and the Secretary of Health, Education and Welfare, the Education Commissioner and Directors. The law also allowed for discretion and for judgment based on "findings." In some cases,

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<sup>1</sup>Education Professions Development Act: Public Law 90-33. Reprinted by U.S. Department of Health, Education and Welfare, Office of Education, Bureau of Education Personnel Development.



the reference is to findings or determinations by Congress, and in others, the administrators are expected to make determinations.

The law makes references to policies and programs to achieve the purposes of Paragraph Two and others. The programs, to achieve the purposes of the law are:

1. Attracting and qualifying teachers
2. A fellowship program for teachers and related personnel
3. Training opportunities for other than higher education personnel
4. Training programs for higher education programs
5. Training and development for vocational education personnel

The bureaucratic structure was headed by a Commissioner for Development who had associate commissioners in charge of bureaus reporting to him. A major subdivision was the Bureau of Educational Personnel Development (BEPD), now known as the National Center for the Improvement of Educational Systems (NCIES).

The change from BEPD to NCIES was a strategic, administrative, and programmatic change whose ramifications created the base of logic whose extensions make this paper timely and appropriate. Specifically, the change of initials were part of a plan to achieve reform in education

through a "Renewal Strategy."<sup>2</sup> The plan failed, but the attempt revealed many features of the "anatomy" of the education enterprise in a context not usually perceived.

When Dr. Sidney Marland in his role as U.S. Commissioner of Education introduced the "Renewal Strategy," it was "designed to help American schools reform themselves." There were two new concepts introduced as part of the Renewal Strategy. One was the renewal site which was basically a set which included a group of schools in an area, or a school system, or a group of systems. The purpose of the "set" was to be able to concentrate discretionary funds currently available under existing legislative authorities. Instead of the practice of preparing many grants with the attendant problem of different grant periods, a single grant funded at a fixed time of the year would allow for more predictability, and the potential for cohesiveness would be enhanced. Operationally, the locality would be in a position in which the skills of needs assessment would be a logical part of the process of determining local priorities. The base for accountability, even in a rudimentary form, would be a concomitant of the need-priority combination. The usefulness of accountability would be seen

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<sup>2</sup>Draft statement, Office of the Commissioner,  
Titled "Educational Renewal," Not dated, Not credited.

in the development of the uniform grant process in combination with revenue sharing.

The programing planning and budgeting concept was fed to the localities in small doses with the notion of accountability in the background. In order to qualify, localities would have to put all of the components together in order to be competitive after having met the various qualifications. A role of the Office of Education was to see to it that technical assistance was available to the sites to assure that the correct formats were employed.

The second new concept was that of the education extension agent working out of a "teacher center" to perform a function analagous to that of an agricultural extension agent. The extension agent would have access to education research and development resources and would also be the source for dissemination of new development in education. A general task for this new person would be to assure parent and institutional involvement in the local education enterprise. This move was seen as the means to assure that the values and priorities of the parents were "reflected in the planning, programing, funding and operational decisions" at the local level.

There were some basic changes in the structure of the Office of Education which had to be made, and the Memorandum of October 15, 1971, is the starting point in

the chronicle of renewal.<sup>3</sup> The Memo referred to the "decision" to transfer the Title III ESEA 15 per cent (discretionary amount made available to the Commissioner of Education), the Dropout Prevention Program, the Bi-Lingual Education Program, and the Educational Technology Program (proposed), to the Office of the Deputy Commissioner for Renewal. The Memo referred to a restructuring of activities of the Office to facilitate the Renewal mission of the Office of Education.

The restructuring meant a whole new organization chart, new position descriptions for every employee and a redistribution of the projects supervised by the individual program officers. A short memorandum dated February 14, 1972, reminded all unit heads that "Don is now officially the Deputy Commissioner for Renewal" and that "all programs under his jurisdiction are collectively part of the Office of Renewal."<sup>4</sup> However, prior to the official assumption of the renewal charge, there was intense concern for such matters as the role of the universities, the status of the

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<sup>3</sup>Memorandum dated October 15, 1971, from Don Davies, Acting Deputy Commissioner, to All DCD DPPS Staff. Subject: "Transfer of Programs to DCD."

<sup>4</sup>Memorandum dated February 15, 1972, from Bernard H. Martin, Acting Associate Deputy Commissioner for Renewal, to All DCR Unit Heads. Subject: "We Are Now Renewal."

"big systems versus the small systems," the objectives of renewal, and the matter of how the renewal strategy could bring about systemic change. On November 29, 1972, two months before the program was to become official, and six months before it was due to become operational, Dr. Don Davies wrote a memorandum to a wide variety of participants in a renewal conference.<sup>5</sup> In his memorandum, he listed as the purposes of the conference:

1. To set forth the basic assumptions of the renewal strategy
2. To discuss and clarify questions about it
3. To identify available personal and material resources to suggest next steps in implementation, and
4. To develop procedures for continuous staff input

In the development of the renewal strategy what was to prove to be a fatal flaw was the omission of certain groups who felt that for various reasons they should have been involved. The first group to react was the combined professional and support staff of the units involved. The tone of a paper called "Reactions" was cynicism at what was

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<sup>5</sup>Memorandum dated November 29, 1971, to Participants in the November 30 Renewal Strategy Conference, from Don Davies, DCD. Subject: "Conference Agenda."



perceived as contradictions and insufficient planning.<sup>6</sup> The paper, an in house document, pointed out the fact that although the states were told that they would run the show according to their perception of need, the Government had "laid on" certain non-negotiables in terms of emphasis and money and control. The paper surmised that in addition to the lay ons, "We are going to designate persons who will tell them how to do it all," and concluded that "This will come as a disconcerting surprise to Local Education Agencies (LEA's), and State Education Agencies (SEA's), alike."

In another section of the paper were listed three statements titled "Unwarranted Assumptions,"

1. That OE knows what 'renewal' is and how it can be achieved
2. That OE knows or can identify a group of experts who know what renewal is and how it can be achieved
3. That both OE and outside experts know more about renewal than the people at the renewal sites

What was clear was that staff was uncomfortable with the fact that they were becoming renewal "experts" by administrative decision and expected to perform as such by both Washington and the localities. Another thing that was clear was the discrepancy between enormous resources available

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<sup>6</sup>Statement titled "Reactions to May 16 Discussion Draft 'Planning Technical Assistance to Educational Renewal--Gaarder,' 19 May, 1972."



to OE and the incredibly small amount of money available to the states to plan and organize. The states were given a planning grant of 12,000 dollars each to work part-time or in addition to regular duties to prepare to participate fully in renewal. One division of the renewal organization had more money than all of the states combined plus personnel, travel money, and administrative resources which were not far behind--all this in addition devoting full-time to the job.

An unanswered question which created tension among program officers was the matter of on-going programs which had been funded and which had appeared in a proposed new education revenue sharing bill as slated to be turned over to local control.<sup>7</sup> The Commissioner had also touted a career education program as a major concern of the administration and a future direction of the Agency. It was not unreasonable to assume that Education Revenue Sharing and Renewal and Career Education would all become working programs. It was not unreasonable to assume that the Education Revenue Sharing Act would curtail the existence of discretionary programs not listed among those designated as "not affected."

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<sup>7</sup>Pamphlet titled Revenue Sharing. Distributed by OE Office of Legislation, Information Section.

The piece meal appearance of the programs could not be controlled, but it could not be ignored either. The logical question had to be what does it all mean and when do we see all of it? At the level of management, there were voices which spoke clearly and to the point. Dr. William Smith, in defending his 1973-74 Fiscal year budget said:

Crucial to the NCIES mission is the assumption that all efforts to improve the quality of education for children must be centered on systemic or institutional change. Specifically, in the systems which deliver educational services to children, whatever the form or focus of an NCIES activity, its success will ultimately hinge on its impact on the smallest unit in American education--the individual school. It should be equally evident that the lives and behaviors of children are deeply affected by all of the environmental forces, not just the school setting of society.<sup>8</sup>

Another view was represented in the thinking of Dr. Donald Bigelow. Dr. Bigelow designed "Project Open" as a means of utilizing lessons learned from the "Trainers of Teacher Trainers" program to form a National network for educational reform.<sup>9</sup> The network isolated three areas of concern:

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<sup>8</sup>Official statement of Assistant Commissioner of Education, William L. Smith, to the Office of Management and Budget, dated November 9, 1972.

<sup>9</sup>Position paper on the National Network for Educational Reform, dated October 2, 1972, sponsored by the TTT Program and written by Dr. Donald Bigelow.

1. The relationship between the public school and the university
2. The relationship between the public school and the community
3. The relationship between the university and its publics

Bigelow referred to "the dynamics of inter-systemic relationships" and suggested that the road to reform lay in the realm of system analysis concerned with "the various resources and variables that have an effect on productivity." Bigelow's concern with the unwarranted maintenance of "closed systems" and the need to improve the interaction between people and systems indicated an understanding of the nature of the reform movement which probably exceeded the bounds of political feasibility.

While the views of Smith and Bigelow represent major subdivisions responsible for major sections of the law, the problem was not confined to that level. Dr. Mary Jane Smalley, a line manager of the Triple-T Program, wrote:

My major concern in approaching a renewal strategy for local school systems, especially those in disadvantaged areas, is that many of these schools find that renewal must concentrate on survival rather than reform.<sup>10</sup>

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<sup>10</sup>Memorandum dated November 8, 1971, to Dr. Don Davies, Deputy Commissioner for Development, from Dr. Donald Bigelow, Director, Division of College Programs.

There were other reactions. Dr. Fred Hayden from the Minneapolis School System wrote to Commissioner Davies on February 24, 1972, to express the concerns of the Northwest Directors of the Career Opportunities Program. He made reference to a view of "separate and often unrelated programs" which contained many elements common to the professed goals of the reform strategy. He wrote:

We recognize that Trainers of Teacher Trainers (TTT), Teachers Corps, Career Opportunities Program (COP), and others have participated in some experiences which must not be ignored. We believe it particularly critical that the expertise developed in these programs not be lost in the implementation procedures directed from the Office of Education. . . .<sup>11</sup>

In addition to the omitted components, there was no uniform [not a] policy which would be implemented through the "successful" creation of the renewal structure. The Advisory Council on Education Professions Development praised the idea of renewal and urged that OE seek authorization from Congress to proceed.<sup>12</sup> However, the Advisory Council also said:

The recommendation. . . should not be construed as an endorsement of renewal as a policy. An educational

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<sup>11</sup>Letter to Dr. Donald Davies from Dr. Frederick Hayen of the Minneapolis Public School System. RE: "Northwest Regional Conference."

<sup>12</sup>Report on Educational Renewal by the National Advisory Council to the President and the Congress of the United States of America.

idea, however imaginative, is not a policy. A concept, however powerful, is not a policy. A term, however stirring, is not a policy. In its report, this Council has set forth its views as to what constitutes an adequate policy statement. The materials describing educational renewal do not meet those conditions.

The Advisory Council also proposed to Dr. Marland that he develop a policy for Congress to consider prior to the determination of the appropriate legislative authority.

The line officials of the Office of Education had expressed their misgivings concerning the management of the renewal concept. But, as is usually the case when education and politics converge, having been convinced that renewal was here to stay with or without them, they set about to making the idea work.

The most forceful of a group of skeptical line officials continued to be Dr. Bigelow. However, he was also among the most perceptive analysts of what it would take to make renewal fly. In a situation roughly analagous to building an airplane while moving through the air at high altitude and high speed, Drs. Bigelow, Carter, Wickline, and Tinsman led, inspired, organized, itemized, detailed and finalized a program whose existence was at best tenuous.

The Bigelow memoranda articulated the frustrations of working with a program based on no coherent policy. On November 11, 1972, Bigelow dealt with "barriers to



educational reform."<sup>13</sup> Some of his more pointed comments included:

We have not yet seriously tried to get recipients of Federal money to want to use their money for their and our purposes.

For the most part we think intra-systemically when, as is self-evident, the world of American education is inter-systemic in nature. . . .

Through guidelines and other prescriptions, we continue to 'lay on' our requirements which neither meet educational or social needs nor those of our ultimate clients--the children in the schools.

Many of the best people are not involved in educational reform because we have failed to show them why they should be involved.

And we must always remember to provide an answer to the question "change for what?"

BEPD, now changed to NCIES, began the task of dealing with the "nuts and bolts" issues of renewal. Among the first tasks undertaken was that of involving an alienated, fearful, and in some cases resentful complex of community and professional leaders. The "soft money" available from the Government was not always sufficient to control the actions of the education establishment, and newly won court cases involving the nature of school finance were creating new waves of concern while appeals were pending.

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<sup>13</sup>Memorandum dated November 1, 1972, to William L. Smith, Associate Commissioner, from Donald N. Bigelow, Director of the Northeast Division. Subject: "Educational Leadership."



Nevertheless, the need for reconciliation was crucial and there were no realistic alternatives at hand. The device was the creation of Task Forces, and the strategy was simple: involve men of energy and intellect in a task requiring their resources, then step out of the way. In exactly this manner, the Task Forces came into existence in early 1972. The formalizing of the Task Force was made easy because of the foresight of the bureau in having established "Task Force 72" in 1971. This Task Force involved more than 10,000 educators who had made and refined or concurred in decisions, policies, and practices of the now old BEPD. The position paper which served as the base document for the establishment of the "Field Task Force on Improvement and Reform in American Education" was a minor masterpiece of organizational strategy.<sup>14</sup>

First, it made potentially meaningful use of those educational activists whose feelings of ownership had been bruised by not being involved in the early determinations of the renewal strategy. Second, it extended and amplified the momentum built up through the earlier perception of success derived from the "Task Force 72" activity. Third,

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<sup>14</sup>Draft Document: Field Task Forces on Improvement and Reform in American Education, "A Continuing Effort to Provide More Responsive Programs," National Center for the Improvement of Educational Systems, USOE, Washington, D.C., Undated.

it brought together people who had practiced all of the new education concepts currently extant and who knew how they worked in the various social and political and administrative environments.

The purposes listed for the Task Forces were:

1. To show the way to a more effective communication system between NCIES and its constituencies
2. To help develop the proposed educational renewal program
3. To make recommendations regarding how best to use discretionary funds for the improvement of the quality of American education

The Task Force members represented every racial, ethnic, social, geographical, sectional, institutional, disciplinary, organizational entity which could be imagined and contacted. There were radical and conservative views represented. There were the highly formally educated and self-educated. There were individuals who were simply committed to better education as non-affiliated spokesmen.

The six areas felt to include everybody were:

1. Administrators and Supervisors
2. Basic Studies
3. Chief State School Officers
4. Community
5. Higher Education
6. Teachers

The basic objectives for each group were similar:

1. Reflect constituency views
2. Review and critique policy documents
3. Interact and link with key groups involved in change
4. Draft position papers on perceived central issues
5. Identify relevant people, places, and materials
6. Disseminate information
7. Prepare interim and summative reports
8. Develop linkages and mechanisms
9. Provide involvement process models

Travel and expense money was available but no consultant fees were paid. This meant that the persons participating in the Task Force activity were doing so at the expense of their employers, implying acceptance and agreement with the reform renewal principles. It implied a monetary stake in the promise of renewal and the probability of the utilization of the experience of the participant.

If a 90 per cent response is any indication, the reaction of the public to the chance to affect policy was overwhelmingly favorable. The special office headed by Dr. Allen Schmieder kept a staff of four working full-time to keep up with the administrative details. The office estimated the 90 per cent response and the experience of others in the center is strongly inclined to support that figure.

The enormous complexity of the task made it clear that a different time frame should have been established, but since none of the observers had been involved in the prime decisions, the observation was just for the record. The productivity of the Task Forces followed a normal pattern ranging from very good to very bad by some standards. However, the production of documents which could be weighed and measured did not indicate the indirect effects which were highly desirable from certain points of view. The hostility toward the Office of Education diminished as indicated by diminished pressure from the educational establishment. A positive outcome was the evident rethinking of the inter-systemic relationships which were inherent in the organization of the Task Force. There was frequent concern expressed for what the other Task Forces were doing in relationship to matters which by their nature called for link-ups between groups.

It would appear from the foregoing that a good idea had gone through typical vicissitudes, not unlike what happens in many organizations, but that the good idea was launched after a shaky start. The story of Educational Renewal did not end there, however.

On January 31, 1972, while the regional task forces were getting mobilized, the National Council on Education Professions gave their annual report to Congress and the

President, as required by law.<sup>15</sup> The report contained the advice, previously expressed by the Advisory Council, to the Commissioner to formulate a "policy" and take it to Congress for approval. Thus a good idea which had been recognized to have major flaws was in jeopardy, just as it had begun to resolve those flaws.

The Congressional Record of the Senate Activity on February 28, 1972, explains in detail the demise of the renewal strategy.<sup>16</sup> The records indicate that there was a disagreement between Commissioner Marland and the Senate Subcommittee on Health, Education and Welfare. Dr. Marland felt that he was within the law to devise and implement the renewal strategy and that he did not need to seek further approval from Congress. There was an extended debate which culminated in the "Cranston Amendment" which made it impossible to implement the renewal strategy. The remarks by Senator Cranston of California included the following:

Both the House and Senate reports on this bill expressed concern about this proposal and questioned the legal authority of the Commissioner to carry it out without Congressional approval. In spite of these reports, the Commissioner proceeded with the project, with no consultation with the Congress. . . .

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<sup>15</sup>Education Professions Development Act. PL 90-35.

<sup>16</sup>Excerpt from Congressional Record of February 28, 1972, as Reprinted in the Report of the National Advisory Council.



I would urge the adoption of my amendment if for no other reason than that it preserves Congressional prerogatives. It seems that the Department of Health, Education and Welfare has, in this instance, held the Congress in low esteem. It has disregarded statutes. It has ignored obvious legislative intent. It has failed to inform and consult with the Congress. The proper role of Congress in making policy must be established and maintained. With this amendment, the Congress will reassert its proper role in making policy decisions [in] relation to the Nation's education systems.

The background of the end of renewal contained some interesting sidelights. The record contains a letter from the California Department of Education, vigorously opposing renewal and reminding Congress that it had been "by-passed." California also developed a model application form for the State to use in determining the choices for renewal sites within the State.<sup>17</sup> The opposition to renewal was intensified by the part of the plan which called for the transfer of the Bi-Lingual Education Program to the Office of the Deputy Commissioner for Renewal.

Senator Cranston said:

I would like to express my concern about the future of the Bi-Lingual Education Program. Even though the Commissioner has assured us that it will not be consolidated into the renewal program, his subordinates still talk about bi-lingual funds as part of the renewal site concept. The Bi-Lingual Program is a Congressionally mandated single purpose program of

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<sup>17</sup>Memorandum dated February 24, 1972, to OAC/PPMC/OCS, from Wilton Anderson, Acting Deputy Associate Commissioner, BEPD.



major importance to California as well as to other states having large numbers of Spanish-speaking children. It is a program of major concern to California where 5.6 per cent of the population is Spanish sur-named in elementary and secondary schools.<sup>18</sup>

Indeed, Senators from New York, New Mexico, and Colorado went on record in this session in support of the Cranston Amendment and urged its acceptance. Rightly or wrongly, the Senators responded to fears, also in the record, of their political constituencies. It was evident that Senator Cranston was responding to the concerns of the strongly education conscious voters of California. Although the renewal strategy had its substantive weaknesses, it was destroyed as a result of political sensitivities.

The rise and fall of renewal is an example of a failure to deal with important systems components and the additional failure to exercise some basic management skills with respect to the critical path of its development.

#### Renewal Summary and Analysis

An analysis of the rise and demise of renewal must center on the probability that the initial fault was in the purpose of the idea. There is no documentation available to "prove" the contentions to be made but the circumstances and the reaction to them indicate more than a

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<sup>18</sup>Excerpt from Congressional Record of February 28, 1972, as Reprinted in the Report of the National Advisory Council.

strong likelihood that the interpretation is the only one defensible.

Dr. Don Davies, the Deputy Commissioner for Development, was aware of the proposed Education Revenue Sharing Legislation and the creation of the National Institute of Education to do research and development. Under the new law the bulk of the discretionary programs would have been farmed out to the states and the localities consistent with the principles of the New Federalism. Dr. Davies figured to loose everything he had responsibility for. Candid observers related the new arrangement to the fact that Davies, a high ranking hold-over from the Johnson Administration, was being stripped of the one hundred million plus "Empire" deemed to be too much for a Democrat to control in a Republican Administration. It is not difficult to hypothesize that a legislative "Gimmick" might serve to foreseen the proposed instant obsolescence. A proposal which would complement the Revenue Sharing Program, be consistent with Nixonian Federalism and solve a big piece of the "Education Problem" by its delivery function would have been hard to resist. The principal author of renewal was Russel Woods, Deputy to Dr. Davies. The initial drafts were conceived by Woods. There was nothing left out of renewal that would make it consistent with local control and heavy Federal involvement. There would be an attraction for the Commissioner of Education to retain a direct involvement with the

discretionary monies slated to change hands. The local governments would be hard put to resist the political attractiveness of such a program particularly with "soft money."

Time was a factor in this task. The Education Bill was on the Hill and reports flowed hourly on the status of portions being jointly discussed. It was vitally important to establish the renewal centers, the renewal sites and the Internal Office of Education structures prior to the release of Education Revenue Sharing Funds. With states and localities unsure of how to administer the new funds, an established attractive "System" would be magnetic in its attraction.

Although Commissioner Marland, Secretary Richardson, and many public agencies approved "Renewal," the rapid development and expansion of renewal was not without criticism. Two selected sources of criticism other than the many internal critics best illustrate the outside reaction to the renewal theme as presented. Paul L. Niebanck in the Office of the Secretary wrote a very strong criticism of renewal in a memo dated November 16, 1971, Subj: National Education Renewal Centers. This document expressed alarm at the size, speed, lack of regional involvement, and the lack of manpower. The words "vague," "unrealistic," "insufficient," and "nebulous" characterized the reaction of this particular Under-Secretary to "Renewal" as proposed by

the Office of Education. He raised the question of congressional approval as a step to be taken before much else was done.

A group of project directors reacting to a renewal presentation by Dr. Smith in Lincoln, Nebraska, in 1971 pointed out a set of concerns centering on the weakness of long term programs financed on an annual basis.<sup>19</sup> None of the criticisms resulted in anything more than answers, many of which were suppositional and anticipatory. An example is the response to the question: "How can saving be demonstrated when only three discretionary programs will be included?" The answer--"The objective is not in achieving savings in the traditional sense of the word, but in increasing the effectiveness of expenditures under the programs brought together."--was hardly likely to generate confidence in "renewal." The pattern for the failure was set when certain vital determinations were not made.

It may be speculated that had these determinations been sought, it would have halted or at least impeded the rush to get renewal in place. If Congress had not reacted to the apparant slight by an agency it had created there is a good chance that renewal might have worked. The strategic

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<sup>19</sup>Letter to Dr. William Smith from the Directors of the "Triplet" project of Fernando Valley State College.  
Dated November 21, 1971.

rush when combined with procedural, organizational and administrative errors was too much for the idea to carry. The appearance of the intent to by-pass Congress should never have been allowed to happen.

Secretary Richardson conceded that the failure to seek congressional approval might have been a mistake while protesting the implication that the mistake was in not being straightforward! The Advisory Committee on Education Professions had advised Commissioner Marland to seek the approval of Congress but he did not accept the advice.

Ironically, it was probably fortunate that renewal collapsed before it got started, because other oversights would have created enormous difficulty, conflict, and hardship for the target group of professionals in and out of government, plus the proposed receiving public. If the legal basis for a program is established, it is merely the first of a set of hurdles to be surmounted enroute to implementation. The second barrier is the complex matter of the establishment of a fiscal base.

Public policy is always subject to political control. Sometimes it is controlled directly by legal, fiscal or administrative means and sometimes it is controlled by the public at large. In the case of renewal it was seen by the Congress as a political gesture by a Republican Administration and Congress reacted politically. The



exchange of letters cited in the Congressional Record included some polite advice to the Commissioner to back off.

The federalism which dominated the administration's activity in general and the Commissioner's perception of it in particular, seemed to make it imperative to him to circumvent the Congress during an era of general disregard for that body. It appears that it was one thing to be taken lightly by a President but another to let an Education Commissioner do the same. Congress in its oversight of funds presumably was not amenable to Dr. Marland's intent to redirect the purposes authorized by them. The second error in procedure was the underestimation of Congress' willingness to act. This error caused the Commissioner to go forward without a confirmed fiscal base. Even though this was apparant to line officials, the Commissioner's ability to generate enthusiasm made it appear that he could make the notion stick.

The Congress did act and the action was to withhold the authority to consolidate grants while approving the development of the renewal strategy.

Even the assurance of a fiscal base is no guarantee of public acceptance. This was probably strategic error No. three although it was public error No. one. The pattern of failure to include the many layers of the public in the



decision making processes of matters of concern to them had been established long enough, along with its disastrous consequences, to have influenced the Commissioner.

After having been promised local determination of priorities along with the generation of the Revenue Sharing "Carrot," a dilemma was posed for the education leaders. The establishment of the possibility (presented as a reality) that teacher centers, renewal sites, and development money were forthcoming for the states, demanded a receptive posture from the leaders. The lure of Federal funds weakened the protestations that the government had made all of the decisions of importance and was in fact merely providing the states and localities the usual opportunity to rubber-stamp a finished product.

The final error in the saga of renewal involves the remarkable set of tasks given to the program managers to perform. In the first place there were major sections of legislation whose programs were terminating. In the second place the Education Revenue Sharing Program which was supposed to have been supportive of the renewal activity was floundering in Congress and there was a freeze on internal promotions and a freeze on external hiring.

The Civil Service Commission had declared the Office of Education to be overstaffed and the President, through the Office of Management and Budget, was contemplating a Reduction-in-Force. This was the internal

environment in which the staff was required to coordinate with a hostile higher education establishment, redirect the skill of teachers in the face of local preoccupation with a teacher surplus, and win over community groups which were militantly alienated. This is not an abnormal set of impediments for people involved in familiar work, but it caused concern when there was no policy base to support items such as the definition, form, and extent of the new technical assistance posture proposed for the program staff.

The program officers also had to develop programs in the face of a basic design change which excluded all but three of the discretionary programs which were to have been the nucleus of the renewal activity. These exceptions to the program scope kept the program staff going back to the drawing boards whenever an announcement was made of a new deletion. There were other gaps in the administrative framework expected to support the renewal process.

The unsettled question of parity was even more unsettled at the time the Renewal Program was in the development state. A program officer would be confronted by a wide divergence of parity concepts in the same renewal site. There was no assurance that OE money channeled through local political structures would ever be used for education without the special education revenue sharing law to require that the money be used for education.

The official Office of Education question and answer sheet said that new requirements were being developed, but they were part of a legislative proposal which was far from being either a law or a guideline. Finally, the program officers themselves were often inundated by the many contexts in which "Renewal" was perceived by the public and Congress as well. An explanation by Commissioner Marland, after renewal was killed, cited four different uses of the word renewal. He recognized that this "could have been confusing" and anyone who participated in the "Renewal" activity can verify that understated truth.

The motivation for haste whether justified or not is insufficient to offset the complications that can and often do prove that haste makes waste. There was a chain of bad decisions which were compounded as they worked their way down through the expanding layers of the Office of Education bureaucracy. This is a description of what happens when some fundamental management practices are consciously side tracked. The types of management errors shown here are no different because they involve government. The crucial elements are consistently present--organization, purpose, direction, policy management levels and a consuming public. In the level of management we observe a decision making model which reduced alternatives, limited the potential for trade off, excluded key people from the decision making process, and amplified the factors of

uncertainty.

As a result of the decision making model described above, the factors of "compromise, coalition, competition and confusion" were compounded to the tasks of the program managers. It seems fair to say that the combination of factors, namely, the threat posed by the newly proposed National Institute of Education to the research funds controlled by Dr. Davies, the teacher surplus which eliminated the need for programs slanted toward teacher training, and revenue sharing which eliminated the discretionary programs, combined to make the real objective of renewal seem to be the establishment of a new role for the Office of the Deputy Commissioner for Development. The management gamble was based on the success of a degenerated bureaucratic-political decision making model which intensified every possible potential for irrational behavior on the part of the individuals involved.

The bureaucratic-political decision making model infers empire building, with the concomitant undercurrent of retaliation, favor carrying, competition and compromise. This model forces the individual to place looking out for himself first at all times ahead of any other consideration. The extreme opposite is the rational-intellectual model which involves making the best decision after the consideration of a range of alternatives derived from the

consideration of the best and most complete data available. The application for the best public policy management is to aim for the rational model but to be prepared to accommodate a certain amount of non rational behavior by individuals or groups of individuals. The position that systems should serve people rather than themselves is usually a good starting point. The closest we can come is the state in which the success of the individual and the success of the system are indistinguishable. The reality is probably to reach the "me first-system second" ideal. This is seen as an improvement over the "me" first, second, third, fourth, ad-infinitum response dictated by the bureaucratic political model.



## C H A P T E R I V

### SECTION I

#### A SYSTEMS APPROACH FOR PROGRAM OFFICERS AND THE UNIVERSE OF FORCES AFFECTING THAT SYSTEM

There is a degree of differentiation in the use of the word "system." Although the differences are not confusing, it can be a problem to know just what context is intended. The National Center for Education Research and Development produced a research document which stated: "The word system is used to communicate many different ideas, but in this paper, it should be thought of as indicating a process."<sup>1</sup> The text developed a concisely useful description of systems analysis as a process. The purpose of this document is to make a limited understanding of systems available to a program officer seeking a greater understanding of the term.

The first thing a program officer should know is that there is nothing particularly new about systems approaches, system analysis, or systems theory. A system remains an organic or organized whole consisting of subparts

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<sup>1</sup>National Center for Education Research and Development, U.S. Office of Education: System Analysis and Learning Systems in the Development of Elementary Teacher Education Models (Washington, D.C.: U.S. Government Printing Office, 1970), p. 12.

united by regular interaction or interdependence. In any system there are tendencies which are self-renewing or self-sustaining in nature. Each system relates to, interacts with or depends on other systems. The systems approach has become a mystique with a jargon, symbolic mathematical representation, and other manifestations of cultism.

For the program officer, the systems approach is usually compounded by the currently popular and ultimately meaningful concentration on the quantification of data for computer applications. The proper management of systems, especially complex public based systems, is dependent on data. Experience with program management, however, frequently fails to support the idea that there is a relationship between data, its collection, and analysis, and the generation and management of public policy.

There are two possible causes for this logical gap. One cause is a failure to perceive and to comprehend on the part of the program officer, and the other is a failure to produce a policy whose terms are related to existing or proposed programs. The failure to produce policy occurs at levels which are remote from the program officer, and based on fiscal-political judgments. The failure to perceive can be corrected by means easily available to the program officer but in dire need of sorting, placement, and in some cases, clarification.

### The Use of Models

A model attempts to explain a complex organization or phenomenon by either a direct reproduction or an analogy with something generally known. Models are useful in portraying abstract realities in terms of interrelationships and interdependence. There are characteristics of effective models which will be enumerated and briefly described for comparison with a system model to be developed as a part of this dissertation.

The model which is most popular and which is partly responsible for the aura of mystery associated with "systems" is the cybernetic model. The cybernetic model relies on the flow of information and monitors processes related to the flow of that information through a given system. School systems, manpower programs, and other complex realities are effectively described by this model.

A logical outgrowth of the cybernetic model is the input-output model which compares the input of resources to the output of products which result. Input-output is good for measuring the efficiency of a system. It also shows the effect of alternatives and different combinations of resources on the ultimate product. In terms of use limited to educational systems, the problem is the disagreement and information shortage on what education is and does.

Any model intended to be useful to a program officer should do certain things or have certain characteristics:

1. It should describe the whole system in which the activity of the officer occurs and include interaction as a vital aspect.
2. It should include or reflect the operational realities of the enterprise. The interdependencies should be highlighted as crucial.
3. It should be understandable to the program officer and should show the relationship of the universe to the next larger one.
4. It must encourage analysis within the context of the model and not be limited to the scope of a component.
5. A model should include feedback mechanisms which contribute directly to the part of the model concerned with the self-sustaining and/or self-renewing functions of that model. This is important especially if a primary function of the model described is to keep itself alive. Feedback should include evaluation and assessment and should not offer them as a substitute.

A program officer is probably more familiar with the concept of the "set" as a recent notion in the teaching of mathematics. The idea of sets and sub-sets relates to systems and subsystems in an orderly way. They are generally interchangeable terms with the use of elements common to both terms. Systems are usually bigger and more complex entities but the relationships remain relative and constant. It will be difficult to transmit this perception to individuals who perceive their locus as the hub of the universe in which they are encountered. It will also be difficult for the program officer to design, implement, and oversee programs which reflect public policy as determined by a wide variety of policy makers. The most difficult

task foreseen as management problem will be to convert subject matter specialists into systems-conscious generalists. Donald Bigelow established a rational base for a new task for existing manpower in his description of a national information sharing matrix.<sup>2</sup> He elaborated on the extension from intra-systemic to inter-systemic applications of certain bodies of experience and skills currently in repose in the U.S. Office of Education. William Smith described a set of guidelines and management concepts directed toward the effective utilization of staff resources in an agency in transition.<sup>3</sup> Smith had a model in mind which, although he did not specifically name it, is clearly the "heuristic approach" which calls for courses of action to be applied to completely unanticipated situations for which "no formal model or analytical solution is available."<sup>5</sup>

Although the perceptions of these abstract organizational and operational realities pose no problem for individuals accustomed to functioning at the level where

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<sup>2</sup>Donald Bigelow, Position Paper, Draft II, "Project Open," Washington, D.C., October 2, 1972.

<sup>3</sup>William Smith, "Staff Utilization Revisited," Address given to staff Utilization Panel, AASE Atlantic City, New Jersey, February 26, 1973.

<sup>4</sup>NCERD Bulletin, October, 1969, p. 16.



universes overlap, there is a distinct problem for the manager applying such principles to day to day tasks associated with programs. Previously, the failure to perceive and to comprehend was linked to the need to sort and to place in sequence. The logic of systems approaches was reviewed and the use of models was introduced into an emerging structure of thought. At this point, it is seen as appropriate to have a model of a system which follows the five characteristics mentioned previously, allows for increased comprehension because of its sorting function, and forms a basis for a "heuristic" response to the fluctuations caused by political lay-ons.\*

#### A Universe of Forces

In the discussion to follow, the terms universe, model, system and set will be used interchangeably to support the description of a "universe of forces" seen as the true working environment of the program manager. "Program officer" and "program manager" will be used interchangeably to refer to a collectivity which includes supervisors and the professional support staff whose general duties include development, implementation, and on-going management of programs and projects authorized by law. The "universe of forces" model centers on the activity of the individual

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\*Political lay-ons include internal as well as external politics.

school as the hub of a vast amount of activity occurring in five clearly defined spheres of influence. The five areas are higher education, state and local education agencies, communities, political establishments and the power elites. These forces as they are properly termed are discreet systems, but they are by virtue of interaction and interdependence parts of another larger system. The education system interacts with and is a part of two other universes shown as interfacing circles in Figure 1.

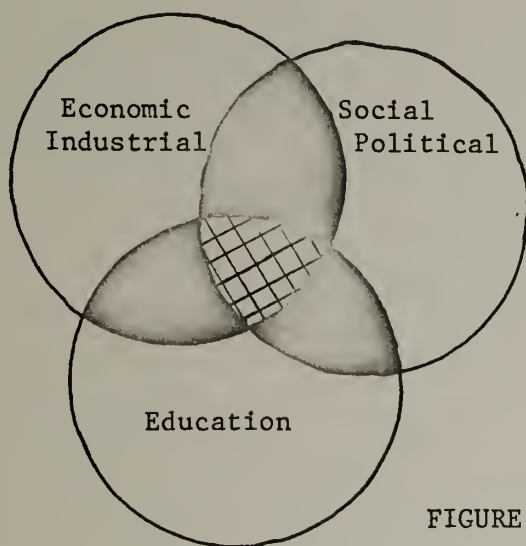


FIGURE 1

The shaded areas indicate the easily recognized interfaces with economic and industrial universes and social and political universes. These are simple relationships, very generalized in nature, and very easily perceived and understood. The simplicity is treacherously deceiving. Since all three universes are in motion, the area of interface may be relatively stable, but the point of interface

is dynamic. This factor can cause the nature of interdependency to change while not affecting the fact of interdependency. This infinitely variable motion makes the "heuristic" approach to system management invaluable. The need to have a frame of reference constantly available, no matter which way the "wheelsspin" suggests a mechanistic approach. The cybernetic model is the current vogue anyhow, and its validity is determined strictly by its manner of use.

The assumption is made that it is proper to orient all education to the proposition that the education of children is crucial to the self-renewing and self-sustaining functions of the three part universe illustrated in Figure 1. All references to the individual school include the principal, his staff, and students, and the total action and interaction among them. Any of the three universes may be separated from the group for purposes of analysis. It must be borne in mind, however, that separated or not, the education universe is a discreet part of something bigger.

The principal, as the symbol of schooling, is in a crucial position to exercise the ground-zero management skills which would relate his task to the operation of the aggregated system. Of course, this happens, but it is haphazard, unsystematic and fortuitous. It will help the program officer who may never have been a principal to know why this is so. In the first place, the principal is in

charge of a group of individualized, conservative, self-contained professionals who function in a reward system which, as Lortie stated, "does little to offset individualism." In fact, he adds,

it probably amplifies this proclivity. Extrinsic and ancillary awards (money, rank, security, and favorable schedules), tend toward automatism in teaching; they are, at least, regulated by longevity and course taking rather than demonstrated effectiveness in the classroom.<sup>5</sup>

Lortie argued that a combination of factors formed a structure which included:

the way in which our society has ordered the recruitment, socialization and rewarding of our teachers. . . . the subordination of teachers to administrators and school boards, the ecology of mutual isolation. . . , even the preempting of intellectual functions by professors in the disciplines and education.

This designation of a universe of forces has the widest implication for the study of teachers in the context of their social and psychological environment, but it also sums up one aspect of the problem complex faced by the school principal. The probability is strong that the principal came to the job from the same background and may not see the problem and its causes because he never got far enough away to make distinctions. When he does get far enough away, his role changes even when his attitude does

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<sup>5</sup>Dan C. Lortie, Structure and Teacher Performance: A Prologue to Systematic Research (Washington, D.C.: U.S. Government Printing Office, 1971), pp. 51-55.

not.

Another factor influencing the task of the principal in the school is the set of relationships between the students and the faculty. The so-called youth rebellion probably has merit in its demand for relevance from the faculty and other interested persons. The report of the Panel on Youth makes it clear that the root of the "problem" of our young people involves the isolation from the world of adults created as a result of the extended period of time spent preparing them for the world of adult life.<sup>6</sup> Lortie speaks of the observed but unresearched phenomena of students teaching teachers.<sup>7</sup> The amount of peer learning known to exist is not fully researched either, but it is occurring in the schools along with the tutoring of teachers.<sup>8</sup> There are few principals who have a "handle" on these activities, although many of the acts performed daily by the principal and the staff are deeply involved in the concerns indicated.

The generally perceived relationships characterizing the "school system" is the one which includes only

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<sup>6</sup>Report of the President's Science Advisory Committee, Office of Science and Technology, Executive Office of the President, June, 1973.

<sup>7</sup>Lortie, pp. 51-55.

<sup>8</sup>Mary Conway Kohler directs a Youth Tutoring Youth program under the auspices of the USOE. The findings are significant, but are not yet completed.



B-E-F on the diagram of a universe of forces shown in Figure II. The matrix summary further describes the details of the relationships conceptualized in Figure II.

### Local Education Agencies

Beyond the school room, the first point of contact with the "system" is the local education agency. The local agency is really the agent of the state agency and thus, is subject to full political control. Even when the local agency collects taxes, the control function of the state remains operative and influential. The task of the principal is further constrained by statutes, by-laws, the budget, and the likes and dislikes of school board members. Local education agencies as a subject immediately bring to mind the local superintendent as an object. As the person most visible, most vulnerable, and frequently the least prepared for dealing with the demands of the present times, the school superintendent is in a uniquely untenable position. As Dr. Hugh Scott noted when he was sworn in as superintendent of schools of the District of Columbia, one of the board members came to the ceremony carrying a book, How to Fire a School Superintendent.<sup>9</sup> The majority of the

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<sup>9</sup>Remarks by Dr. Hugh Scott while serving as Coordinator of the Conference of Black School Superintendents, Atlanta, Georgia, July 11-15, 1973.

THE B-E-F RELATIONSHIP  
IS THE GENERALLY PERCEIVED  
SCHOOL SYSTEM OF RECORD

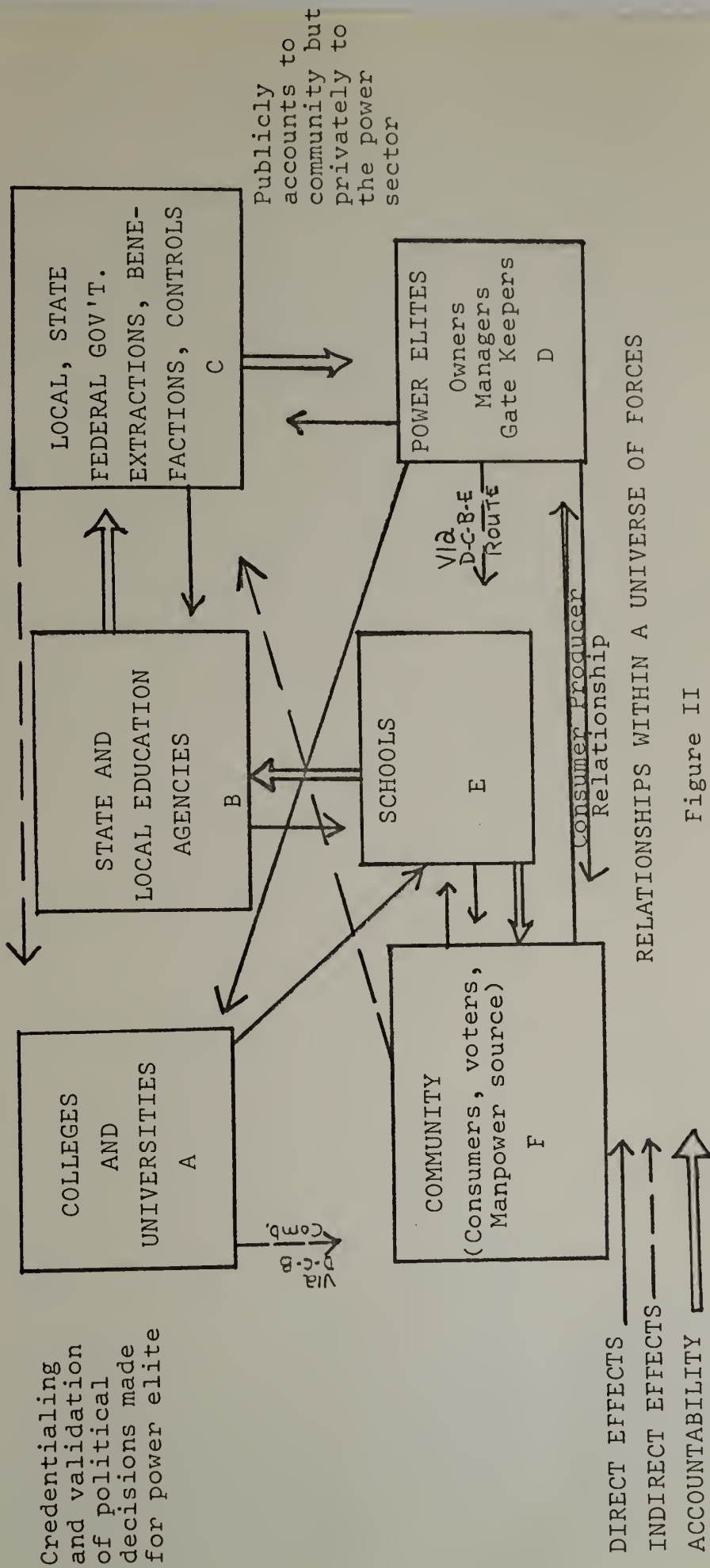


Figure II

MATRIX FOR THE UNIVERSE OF FORCES

Sub-set	Core	Account	Form or Base	Education, Impact	Impact Direction	Interrelatedness	Constraints
State and local education agencies	administration of budget, determining the teaching policy, curriculum enforcement rules	generally to state legislators formally, to communities indirectly by way of politics	fiscal, legal administrative	narrow, direct influence over administrators, staff, pupils and facilities by legal mandate	passive recipient of direct and indirect social and political forces and from higher education establishment	with socio-political and socio-economic spheres	fiscal, legal administrative
Government: Local State Federal	controls extractions, benefactions, respond, get reelected, symbolize leadership	to power elites informally, to voters formally	legal political combination of support from elite and selection by voting community	broad all aspects and phases of education via allocation of resources	two way incoming from constituents outgiving by statute, mandate, etc.	with all spheres but more responsive to vote and money sources	political-preferential-old vs. new politics
Communities The "Public"	consume goods and services, vote, spend money labor supply, tax base, "the market"	do not really account to anyone	are accounted to universally, either directly or indirectly	broad on public education but mainly indirect through political response--positive or negative	direct, outgoing influence on producers through purchasing power, on gov't by vote schools by tax support	reciprocal with industry commerce banking aspect of power elite	by quality and quantity of information made available
The higher education establishment	to certify to validate to eliminate to restrain, act as "gatekeeper"	to government, industry, power elites and indirectly to the public	to gov't through funding to public by market forces to the elites by subsidy and identification	wide, pervasive through validation of political decisions, dollar value of education image accreditation mythology	outgoing on education agencies and government influence from government and elites as subsidizers	have no direct accountability to the public although they exercise influence on the public strongly	erosion of power base, institutional failure to be responsive changing times
The power elites	to produce, provide economic base, influence government, control technology, source of capital	principally to the communities through its consumer function	nature of market forces, need to compete, indirect through laws	indirect but pervasive, usually through influence on governments and higher education direct via subsidy	directly on gov't through political forces, from gov't by regulatory agencies	reciprocal with gov't interdependent in fact through aggregate ownership of economic base and trend setting function	competition for scarce resources increasing, capacity to control competition diminishing

larger systems are characterized by several categories of bankruptcy, the interplay of race politics, power plays by the two contending teacher unions, general contentiousness, and the expectations of the impact of court decisions on finance. The technical assistance role was seen by the Commissioner when he declared prior to his confirmation that:

Significant numbers of trained and experienced professional educators, now confined to pushing paper in the agency, would be released to provide technical assistance services to the states so that the states themselves can more effectively implement decisions of their own making. There has to be doubt concerning the capacity of the state to 'decide' its way out of the problems faced by the local superintendents. There is no doubt that in the absence of a strategy by which the decision-making process can be related to the magnitude and the intensity of the problems within the state, that the assignment--willy-nilly--of 'experienced educators' (program officers) can make any difference whatsoever.<sup>10</sup>

The renewal concept was intended to encourage the states to solve their own problems in the presence of Federal funds. We recall that the federalism concept inferred the solution of the states' problems by the state with Federal participation. It must be observed that serious inconsistencies exist which preclude usefulness of the program officer in this context. The realities of the situation faced by the local school superintendent have their roots in the concurrent

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<sup>10</sup>John Ottina, U.S. Commissioner Designate, Before the Committee on Labor and Public Welfare, United States Senate, Thursday, March 29, 1973, p. 4.

realities existing in other corners of the total universe remote from the schools.

An analysis of the views of the superintendents of large urban systems indicate the following areas of concern:

1. Budget and Funding

It is the view of the big city school superintendents that rural and suburban oriented state legislators are a stumbling block as far as the special needs of the city systems are concerned. They are opposed to Federal revenue sharing for this reason, and strongly wish for the Federal funds to by-pass the state house. A program officer pushing the revenue sharing concept in the face of this lack of faith is going to meet resistance.

2. Distribution of Funds

The superintendents indicate that the assumption that all children have the same needs and that it costs the same to meet those needs is unwarranted. They would like to have alternative patterns of distribution of funds so that they could respond to the urgency of need rather than the funding category. This implies the use of the skills of needs assessment and the cost configurations. At this point, a cybernetic



decision making model would be useful to the program officer.

### 3. Governance

The big city officials indicated extreme concern for who governs the schools. They want:

- A. Greater financial assistance from the state
- B. Local control over personnel, curriculum and teacher-pupil ratios
- C. The state to set teacher standards and then work to achieve them for all teachers<sup>11</sup>

They accept community involvement but shun community control. They reason that since a community cannot be held accountable under existing laws, the final authority should go to whoever is legally responsible for his actions. They prefer the school board as the voice of the people but some oppose elected members because the need for time and money precludes popular participation.

In view of the positions taken, it is clear that the big city school superintendents feel that their place is squarely in the middle with the state, from whom they require funding, on the one side, and the community, from whom they require support, on the other. They are concerned with the rapid trend toward racial isolation and the financial

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<sup>11</sup>The Views of the Superintendents of Big City Schools in America: Report to the President's Commission on School Finance, October 28, 1971.

crisis which is a part of it. They indicate helplessness in the face of massive social and economic problems whose remedies are the key to the solution of the problems of their systems.

Obviously there are other concerns effecting the function of the local school superintendent, but they stem from or are concomitant with the three broad areas mentioned above.

### The State Education Agencies

Just as it was difficult to speak of the local education agency without reference to the state agency, it is difficult to describe the state agency without consideration of the state legislative and political processes. The state has final authority over the education enterprise by statute, as a rule. The state legislature, however, controls fiscal matters and even when there is an independently elected chief state school officer, he is bound by how much money is available to him. Although seemingly remote from the principal, the amount put into the city or county budget is the primary determinant of what happens in the classroom. The politics of resource allocation are not hard to understand if the choices are made clear. The problem for making the political choices lies in the way in which the choices are explained to those who pay the taxes and vote versus those who pay few taxes but vote

anyway. The debt limit of a state is also a determinant of how fiscal resources are allocated. The pattern of court decisions is strongly influencing the decisions considered by state finance committees to report to the larger body.

The state legislatures are concerned with two important items these days. The first is the accountability concept which is clearly spreading along with the impetus of governance. Accountability can have very bad political outcomes when combined with new attitudes toward disclosure. Increased sophistication by new groups must be either offset or turned to a political advantage for political survival.

A program officer should be alert to the probable impact of these matters on a long range basis. The education revenue sharing programs will be controlled by the states even if the Administration tries to by-pass them. The Uniform Grant Process will force the states to ask what the money will buy, and the follow up will be done in terms of education auditing.

A new atmosphere for openness is growing and the notion of competency based education provides one solution to the problem of how to show what the education dollar is buying. The political management of accountability will be facilitated by the presence of an isolated defenseless group of educators who have developed the art of unspecificity to

the point where it is almost habitual.

The game will be for the state legislature to ask for budget justification to support the education request. The state education agency will pass the request on to the local school boards and the principal will be forced into the hatchet man's role.

The political attractiveness of having a scapegoat who's very nature inclines him toward the "fall guy" role is more than one can expect the tenets of political expediency to overlook. Without the consideration of self-serving sentimentality, it would appear that the future holds no place for the educationist who produces non quantifiable results. Non producing teachers and non producing program officers need to be aware of this.

The second major item to concern the legislators is the matter of comparability. Although some aspects of school finance are in litigation at the time of this writing, the issue of comparability has been settled at the program level through Title I of the Elementary and Secondary Education Act. Comparability is limited to local systems and the so-called "Title I Schools" within them. Comparability is Federal policy, but it does not address the issue of the state guaranteeing equal expenditures of funds. The state is required to report on the comparability of services in all local education agencies to which it allocates Title I funds. What is not dealt with is the

incidence of the very wealthy areas which receive the same amount from the state, but which add more to the schooling of their children from their own resources than is added by Title I to the less favored areas.

What comparability cannot overcome is the factor relating the education of the family head to the performance of the school child, and it does not claim to do it. The potential for comparability and accountability as a basis for governance via parental involvement is great. The political use by "clout" conscious grass roots organizations is even greater as a countering force to the potential abuse by office seekers and incumbents.

#### Chief State School Officers

There were good reasons why the Administration in its broad plan for education simply omitted the chief state school officer. There were also good reasons why the chief state school officers have been overlooked, by-passed, and frequently given only ceremonial attention. Except for a few, these men have not been particularly scholarly, had little to decide, and less to manage. Apparently the position has been the pay-off for outlasting everyone else or a direct political gift to assure the "proper" distribution of contracts in some cases.

That situation changed somewhat during the 1960's. The decentralization of programs could not have occurred



within the Office of Education without the substantively active participation of the chief state school officers. Federalism implied a hitherto unaccustomed role for the state education agency. In the past, the status of the state in education affairs had little to do with the functions it performed. The task today involves organization, development, management of conflict and political savvy along with substantial administrative/management skills.

In the early renewal effort, the chief state school officers had been courted by Dr. Marland and subsequently by Dr. Davies and Dr. Smith. In the Career Opportunities Program, the chief state school officers were represented and a small discretionary "planning" allowance was made available. There was a pay-off for this "recognition" in terms of favorable interpretations of certification requirements for teachers aids.

In renewal, the chief state school officers were somewhat of an after thought but this was probably part of a generally bad conceptual pattern rather than an intended slight. It must be noted in fairness that the Office of Education did help the development of the chief state school officers by requiring their attention to new legal and administrative requirements in connection with Federal aid. It is well to add that the Office provided a fine model of unrelatedness, inconsistency and lack of communication

for the states to avoid.<sup>12</sup>

The Department of Health, Education and Welfare's Audit Agency reported on the other hand that the incidence of state violations of Title I Law was the result of "poor state education agency administration, inadequate records, questionable salaries, concentration of funds, equipment inventories, supplanting of funds and general aid," in order of frequency of occurrence. New audit requirements by Title I administrators provided new skills for the states to master in many cases. In many more cases, it sharpened the awareness of the level of performance of other components of the Office of Education.

The program officer who must offer technical assistance to the states in the solution of their problems must not be surprised or taken aback to learn that, through no fault of his own (sometimes), he may indeed be the problem. The U.S. Office of Education made a substantial contribution to the improvement in the performance level of the chief state school officer who wished or who needed such assistance. The same agency made substantial contributions

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<sup>12</sup>In a study called The Belmont Project: USOE Bureau of Elementary and Secondary Education, and the Council of Chief State School Officers, 1969-72, a main point was "HEW should do a thorough study of USOE data collection efforts. . .to coordinate a system by which SEAS and LEAS can more effectively obtain information and to cut down friction between sub-divisions of USOE itself."

to the need for high performance--positively and negatively.

### Higher Education

The involvement of higher education and the public schools seemed clear enough on the face of it. A diagram might show higher education in terms of a hierarchicly superior relationship. The lofty placement of higher education involved some self-placement and some passive external acceptance. The higher education establishment did the majority of the training of teachers and administrators and made other significant contributions to the general development of the art. Paradoxically, higher education had a two-edged effect on education. On the one hand, higher education actively trained educational personnel; while on the other, it actively supported policy matters which resulted in the allocation of resources for items other than education.

Although it is easy to separate the schools of education from schools of law and business and political science for purposes of disclaiming responsibility, the separation is an act of convenience. During the late 1960's and the early 1970's all of higher education was in trouble. Among the most serious troubles were declining enrollments, escalating expenses, student weakness and protest and a decline in Federal support. There were few institutions of higher learning which were not severely affected by those

woes. Problems of colleges and universities have little effect on the task of a principal in any direct way. Few young people will go to the colleges, fewer still will be the recipients of the results of research. Millions of them will be the subjects of research, however. If higher education were to cease to be, it would not have any immediate catastrophic effect on school systems.

The argument over the role of the university in society or whether or not there should be open admissions is also remote. The chilling effect of past actions by the world of higher education is all around the education universe. The role of higher education in determining who shall work and who shall not work is evident when we observe inflated job requirements and the equally inflated degree requirements.

The screening function performed by the universities for business and industry was an important one when the labor force was not as numerically great. Universities leisurely prepared individuals who knew they would assume major roles in corporations by the time they had reached their mid-forties. The preoccupation with the elite certainly paid off. There was an apparently unlimited supply of students, the snob appeal of a cloistered intellectual climate was relatively free from raids by recruiters from government and industry, and costs were manageable.

The accrediting associations limited competition from "outside" colleges, and state universities were dismissed as merely inferior. The situation could not have been better while it lasted. It was possible for a few schools to dominate the social, economic, political, educational, and international arenas, and there were few alternatives available, or sought for that matter. Certainly, there was nothing in the history of the institutions of higher learning to prepare them for conflict or serious challenge to their incumbency in their assumed role.

Many program officers are products of the old system and still function as if the Office of Education were a campus, or an elementary school. As is the case with most "changes" and "revolutions" they are the result of cumulative events which, by the time the persons or institutions caught up in them react, have established themselves.

Higher education can be expected to respond as if it, as an entity, is causing the changes now firmly set in place. What will actually be happening is that higher education will be sorting, classifying, labeling, and defining changes seen by a few visionaries in and out of education. The system changes occur as trends first. They are perceived by a few educators who frequently have their accreditation threatened as a warning to leave the status quo alone. An alert program officer can, in concert with



a minority of higher educators, practice anticipatory decision making as a real role in federalism develops. Neither program officers or higher education can assure political acceptance of what they forecast, but they can anticipate a continuously expanding role in the emerging art of education planning.

The program officer must resist the dazzling technology which higher education is capable of generating and join with the principals, and the professors to "invent the future of education" as Ziegler proposed. In his study for the organization for economic cooperation and development, Ziegler observed:

Many participants, including technical experts, official decision makers in the decision making apparatus, and clients are habituated to be concerned first about feasibility rather than desirability. Some initial experience suggests that the first obstacle to be overcome. . . is to reverse that order of questions about the future.<sup>13</sup>

If Ziegler is correct, the program officer--higher education--principal combination must interact with a local education agency--state education agency--governor combination.

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<sup>13</sup>Warren L. Ziegler, An Approach to the Future's Perspective in American Education. Background Study No. 12, OECD Conference on Policies for Educational Growth, Syracuse University, April 28, 1970, p. 17.

The education interest groups no longer act as a unified entity. State officials are in a position to take the initiative with respect to state policy because of the diminished need to react to powerful blocs.<sup>14</sup> The potential for new combinations of leadership with the visibly responsible institutions and agencies in charge, can and should be developed by the Office of Education with the program officer in the forefront.

### The Power Elites

The American society is characterized by the concentration of wealth in the hands of a relatively and numerically small number of people. From their point of view, it is wise to have an education system which enhances the likelihood of the situation remaining just that way. Although the romanticized version of independent political leadership persists, the pervasive control of everything by the "establishment" is a reality which is beyond comprehension by most Americans. Independence is relative and subjective in any universe and in social contexts the more precisely defined and controlled the better for the controllers of any universe. There may also be

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<sup>14</sup>James Kelly, The Judicial Reform of Education Finance, Report of the 1971 Institute for Chief State School Officers, edited by Guilbert Hentchke, Duane Matthias, and Peter Burchyns, Washington, D.C., 1971, pp. 25-34.

times when it is good for those subject to control.

Figure I shows the macro system model which features an economic universe as a major component. If we apply a mechanical analogy to the design, we might visualize the circles as intermeshed gears and further perceive the economic industrial gear as the dynamic, or power generating component.

The first relationship with the education universe is that which concerns the tax base of which the power elite or "establishment" is the source. There is a reciprocal relationship existing between the education and the economic universe which is controlled by the power brokers.

In Figure III, the flow is illustrated through the diagrammatic separation of specific entities and non specific functions related to time.

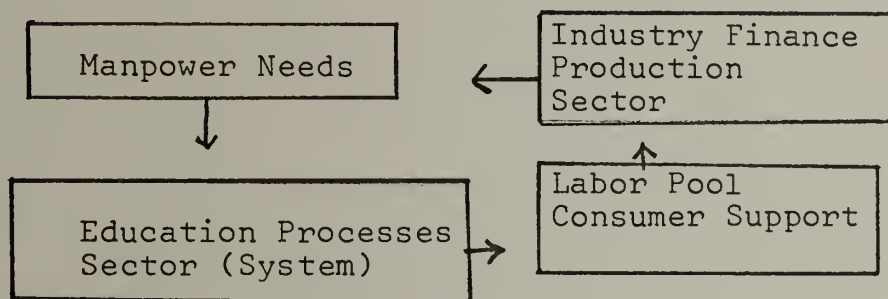


FIGURE III

The resources controlled by the power establishment generate needs for manpower which are met in general by the education system functioning as a source of manpower. A labor supply—demand system in a certain critical mass

provides sufficient employed consumers to support the economy dominated by the power elite. The diagram does not allow for such factors as the attitude of labor, the change in technology, or the number of company trained employees who received their basic education from the education system. The form-structure relationships remain the same although the functional characteristics very often bear little or no relationships to the structure. The flow patterns are also influenced by race, language, labor unions, politics, sex and a simple matter of the description of duties.

Our economy is capital intensive, technology intensive, and linked to conformity and maleability of the labor supply. The education system is very well suited to the maintenance of the order of things just as they are. The education system rewards obedience, punctuality, hard work, order, concern for institutional property, thrift, and respect for authority. Difference is equated with individuality as "great" as long as you stay in line and "don't make any waves" with it. It is difficult to conceive of educators tinkering with that arrangement except by accident.

Accrediting associations are instrumentalities of the establishment either knowingly or unknowingly. They do not wear blue uniforms or carry wooden clubs, but as

policemen for academic law and order, they certainly have agendas directly related to the screening function performed by universities. As the screeners of those who screen, they are involved with who teaches, what is taught, and how it is done. But, they are remote from public visibility and their function is only vaguely understood outside of academia.

For a program officer, there are some questions which should be dealt with, or if not dealt with, an allowance should be made for the fact that uncontrolled variables exist. The first question involves the role of the elite or establishment in relation to technology.

The vocational education people in and out of government have established the probable direction to be taken in curriculum, organization, numbers, relationship with humanities, or liberal arts and resource allocation. This group of professionals is not likely to view the political arrangement of "Career Education" programs as a substitute for the basic issue of co-equal involvement of the vocational-technical spheres with the liberal arts-humanities disciplines in the attainment of national purposes.

Vocational-technical people do not wish to "take over" but they clearly do not intend to accept second-class citizenship as an alternative to complete suppression. Spokesmen for the discipline view the separation of



vocational and academic as an artifice calculated to retain the "higher" education--accreditation--establishment power base. The manpower economy is now based on a system of professional-technical-technical support combinations. The polarization of technical versus liberal arts is one of the reasons for the troubles encountered by higher education.

The core of support has clearly shifted to a new combination, and a program officer should be alert to the hidden agendas of entrenched academicians who simply and understandably want to stay entrenched. What must be perceived is that what supports the interest of the power establishment is going to prevail in an emerged industrial state. On the other hand, it would be well for any program officer to heed the admonition of the Commissioner in referring to the fact the 2.5 million drop-outs cost the country 28 billion dollars in cold cash. He wrote: "There is no way to put a price on their personal loss or the loss of their potential contribution to the nation's economic or social progress."<sup>15</sup>

The second matter which will have an impact on education will be the emerging competition for scare resources among nation-states. The United States as a

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<sup>15</sup>Annual Report of the U.S. Commissioner of Education, Fiscal Year 1971. Submitted to Congress March 31, 1972, in accordance with Section 412-13 of Public Law 91-230, p. 60.

nation has been able to apply simple power politics with respect to the natural resources of other nations. The value of the dollar was universal and Americans have lived accordingly as our expectations have reflected power and richness. How will the erosion of power be dealt with by the money owners? What will education mean in a scarcity economy? What shifts will occur and how will they be made manifest? Program officers are not the ones to find the answers, but they should know what the questions are and just where they will show up in the system.

A movement growing out of the problem of resources and their allocation is that of multinationalism. In describing the phenomenon, Fayerwether referred to it as one of the "major features of the mid-twentieth century."<sup>16</sup> He outlined two major activities associated with the multinational firm. One is the "transmission of resources, especially technological and managerial skills." The other is the "development of unified systems of industrial activities among several nations." In the past, he notes, most multinational activity centered on Americans being the suppliers either by means of students trained in America

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<sup>16</sup>John Fayerwether, "The Internationalization of Business," The Annals of American Academy of Social and Political Science (Philadelphia, 1971), pp. 3-9.

or of experts sent abroad.

The new trend combines the technological and industrial resources of several nations in the same sphere of activity and results in the in-country location of foreign controlled firms tied to the host country's economy. The problems foreseen involve new types of conflicts stemming from nationalism versus multinationalism. Among those mentioned are the political requirement to say one set of things to constituencies and do another for the survival of the economy. Another potential conflict is in the matter of the broad national goals influenced by multinationalism. Perlmutter argues that there will be "structural consequences" as a result of social turbulence and "anti-industrial counterforces." He envisions counterbalancing forces in the form of antimaterialism, affluence and alienation, and nationalism.<sup>17</sup> As he sees it, "a transformation process of the multinational corporate phenomenon is underway and should accelerate. . . ." He sees the causes as: (1) The appearance of "global industrial system constellations" referred to as G.I.S.C.'s, and (2) The process of "geocentrization," a "worldwide view of people, ideas and resources."

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<sup>17</sup>Howard V. Perlmutter, "The Multinational Firm and the Future," The Annals of the American Academy of Social and Political Science (Philadelphia, 1971), pp. 148-151.

The two ideas form the basis for a global urban system and a global education system. Perlmutter is aware of the thrust of the Organization for Economic Cooperation and Development and sees a new "multinational Career" emerging by 1990. He notes that in the present decade "there is little evidence that a globally oriented education experience is envisaged for planetary youth." His expectation is that within the next three decades "global education system constellations will form which permit national education systems to be linked in such a way as to provide a world oriented experience for selected faculty and students."

The implications of Perlmutter's vision may appear staggering, but a program officer in the Office of Education needed only to observe the increasing activity between the Office and the international organizations to conclude that there is action in the direction indicated. The funding of international education programs remains a part of national policy. The implication is clear--America is gearing herself to survive. If economic survival is achieved through the means projected by the multinationalists, some profound changes are in order. Even if we only approach the potential foreseen by Fayerwether, Perlmutter and others,<sup>18</sup>

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<sup>18</sup>A thorough exploration of the implications of the Multinational Corporation is presented in The Annals of The American Academy of Social and Political Science, September, 1972. (Library of Congress Catalog Card No. 72-85688).

the demands of the business world will result in some dramatic changes in the curriculums of schools in certain areas of the country. One example of recognition of this trend is the establishment by the State of Florida International University in recognition of South Florida's burgeoning interracial, intercultural, and international status.

### The Community

The community is basic to the role of the program officer in the education system. The community is also the most elusive component of the universe of forces impacting on the education enterprise. Of all the characteristics of the community, there are two which concern the program officer the most. The first is the community as the recipient of all the services implied by the term "education system." The second is the role played by the community as a part of the socio-political and economic-industrial systems. Under this limitation, an input-output model correctly describes the situation. The community receives the output of the education system and makes input into the other two systems. The sub-system model of the relationship described above is shown in the diagram, Figure III.



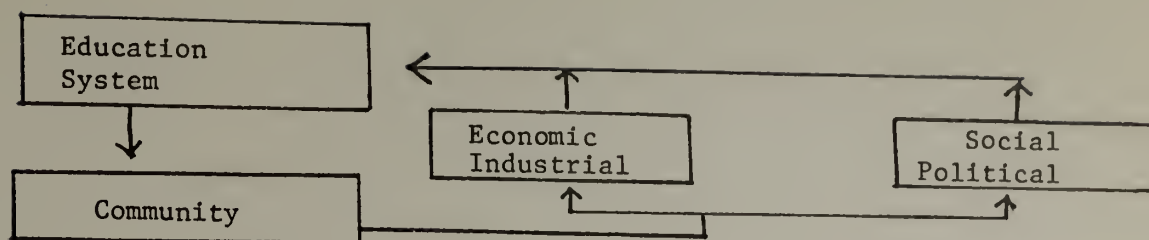


FIGURE IV

As the diagram shows, the community has only an indirect effecting or contributing relationship to the system of education. This remoteness is what characterizes the need for community involvement. There is a closed system between the economic industrial and the social political which is able to operate without involving the community shown by Figure V.

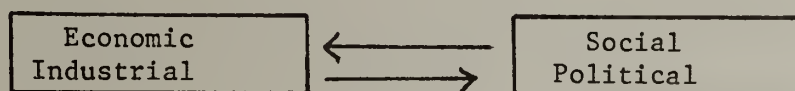


FIGURE V

There is also an interrelationship between the education system and the community which is, for the most part, limited to the contact between the community and the building principal. The current aim of community control centers on the local school boards and the local superintendent, which is intended to achieve ownership and the sense of belonging along with better pupil performance. The opposition of the superintendents to community control has been stated earlier. The communities want to have a

piece of the action but there is no direct way to hold a community responsible for bad decisions, malfeasance, or nonfeasance.

Governance is a full-time job for professionals and one that the professionals find to be barely within their means. There is a place for the community, but it has not been defined to the satisfaction of legal and operational demands. The solution will come and it will evolve from the quality and quantity of information regarding vital issues made available by state and local officials. The role of the community will evolve from greater sophistication with respect to accountability. A pipeline into the sub-system indicated in Figure V, plus a faster flow of information from the larger circuit shown in Figure IV, could provide an information base for the community to have a meaningful role in education. In most cases, the education system is correct to withhold information from the community because the same information can be distorted, misunderstood, misrepresented, and in many other ways, used to hurt individuals or programs.

A task before the program officer will be to help solve the dilemma of the need to know on the one hand, and the fear, on the other of providing information. The slow recognition of the need for coalition, compromise, and trade-off, plus the end of the illusion of conflicting

goals will help. The advent of the open school, the rise of alternative learning systems, plus an end to the misconception held by many in education that there is a necessarily rigid relationship between a degree and the ability to teach, are all related to the role of the community in the education enterprise. The community will change as new social orders arise from the altered expectations of individuals and groups. The program officer has a place in the process and can reasonably expect that the community will participate fully in a wide range of affairs relating to the change process.

### Summary

The systems approach depends on the proper and appropriate selection of techniques to apply to the situation. The approach will fail if, for example, a decision model is used when a perceptual model is needed. There is no advantage to a preoccupation with hardware or the needless development of a new "language" of esoteric symbols. Education is an "open" system composed of many sub-systems and many inter-systemic and intra-systemic relations. There are degrees of openness and there are ranges of flexibility and rigidity. It is important to distinguish between controlling systems and the controlled system. They interrelate and have certain characteristics of multistability which infer the capacity to respond to "pressure"

from within the system and to return to "normal" when pressure is ended. It is the independent capacity to absorb "pressures" which has created stability and the tendency to stabilize which is manifested in inter and intra systemic conflicts. A project officer has the opportunity to influence a complex environment whose inputs into the education enterprise seldom occur at any of the recognizably "right times."

## SECTION II

### Dominant Contemporary Influences On Educational Systems

In the development of the themes presented in this paper, political and ideological influences were underscored, along with their impact on the Office of Education, in general, and on the program officers, in particular. Also shown was the universe of forces which comprise the broad system in which the program officer is expected to function. The program officer is an extension of politically appointed and oriented administrators and policy makers. Although many program officers indulge themselves in the fantasy that they are above, or apart from, or beyond, the influences of politics, there are many others who do not. Actually, the position of the program officer is in a grey zone between politics on the one side, and the accumulated forces which impact on the education system, on the other. The difference between the political forces

and the accumulated other forces is that the political forces are subject to fiscal, legal, and administrative constraints. The nature of the constraints is always known and any threat to the boundaries imposed is subject to broad scrutiny.

The external influences on the education system are subjective, elusive, and pervasive. The difference between the political encounter with these forces and the professional is that the professional does not have to concern himself with a "next election." The political appointee cannot, and in fact, should not, fail to be concerned with the next election. These are counterbalancing and thus contribute to the equilibrium of the system. The notion of checks and balances can be said to be exemplified by the relationship described above. In a "systems" context, the function of the program officer should provide feedback into the decision making mechanisms of the governors. Obviously some incumbent will not want to know that his grand plan is not working. This explains the past and present failure to utilize the feedback potential of program evaluation and review techniques except on a limited basis. What the incumbent knows, so can the rest of the world. The characteristic way of controlling the quantity and quality of information is to give voluminous exhaustive answers to a collection of the wrong questions. The program officer, on the other hand, must seek the right questions and take



the position that if imprecise answers to the proper questions is the best he can do, it is his professional responsibility to pursue it.

Thus, it is important for the program officer to function on two levels of consciousness with respect to issues facing American society. The level which a program officer as a professional might call the highest is that which concerns the rational perception of those issues. Equally intense, but possibly more "visceral", is the political interpretation of those same events. The matters to be discussed might be better described as categories than issues. The so called "issues" of the day fall into four categories. The first is politics, the second is school finance, the third is technology, and the fourth is labor. The delineation and description of these influencing factors on the education universe as described in Part One of this Chapter is crucial to the understanding of the magnitude and intensity of their impact on the individual school in its immediate environment.

### The Changing Nature of Politics

The most noticeable feature of politics is the expanded scope of what has become politicized. The "old" tactic of clear cut for-or against, North versus South, have versus have not, has sharply diminished in its effectiveness. The for-or against choice still holds, but

now the office seeker must pick his or her way through ethnicity, language, color, war, peace, violence, sex, age, welfare, youth, and school busing divisions. Other divisions are as diverse as: gay or straight, legalized pot, and free abortions. A vote seeker must now respond to a wider range of constituency choices than ever. These changes have caused new coalitions to form as the old bases for alignment have disappeared.

The image of the elected official has changed in many part of the country. One reads of Bobby Seale, erst-while folk hero of Black Panther fame, running for elective office and discussing the need to coalesce and the desirability of tax reform. One reads of the new image of the southern politician. One reads of the Black Governor of the Virgin Island's unanimous election to the Chairmanship of the Southern Governor's Conference. The new range of competencies required of a politician includes conflict management, negotiation skills, and others.

A program officer responsible for urban education projects will find increasingly greater need for political awareness in the design and management of those projects.

Baker notes that:

in education as in other public areas, interests attempt to control or influence the decision making process so that they might better enjoy the distribution of rewards and deprivations in the system. Slowly, but surely, both educators and the public at large are beginning to realize that education policy

making is highly political.<sup>1</sup>

Baker lists 19 different "pressure groups" reported to have exerted varying amounts of pressure on the school superintendent and the board of education, and lists 15 diametrically opposed areas of interest. (Strict dress code or loose dress code, more sports, less sports, traditional or non traditional, etc.)<sup>2</sup>

Seagull introduces a variable which has potentially profound implications for educators in general, and program officers in particular.<sup>3</sup> He takes note of the youth vote as an undefined political force but establishes a connection between the politics of youth and the politics of education. This connection is the natural consequence of the fact that school is the biggest and most recent force in the experience of the 18 year old voter. Seagull forecasts a major impact from the "new independent" whom he expects to be a high

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<sup>1</sup>John H. Baker, Urban Politics in America (New York: Charles Scribners & Sons, 1971), p. 390.

<sup>2</sup>The rising phenomenon of teacher militancy is usually seen as a "labor problem," but the potential for political impact existing due to the numbers of teachers in a position to influence a captive audience of 18 year old voters cannot be discounted.

<sup>3</sup>Louis M. Seagull, "The Youth Vote and Change in American Politics," The Annals of the American Academy of Social and Political Science (September, 1971), pp. 88-96.

school graduate, heavily politicized, sophisticated, and not easily distinguishable from his numerically smaller college educated counterpart.

In the suburban areas and in the counties, the politics of metropolitanism are a distinct new form also described by writers. The talk of returning government to the people is politically stylish, but some observers cite the structural and fiscal inadequacies of these units of government. They claim with good reason that these are inadequacies which will limit the role of the regional intergovernmental councils fostered by advocates of new federalism. Murphy, in his study of the role of the urban county, described the potential for the country to fill the gap in the American Federal system existing between urban and rural politics.<sup>4</sup> His description of local government as a social and administrative system concludes with the observation that structural reform is not enough and calls for structured responses to the problems of poverty and race.

A program officer will need to know the difference between political shadow and political substance because he will encounter both in direct as well as indirect confrontation.

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<sup>4</sup>Thomas P. Murphy, "Metropolitics and the Urban County," Washington National Press, Washington, D.C., 1970.

### School Finance

The financing of American education is another highly subjective matter which is tied to politics and law. The basic problem in school finance is a legal one, but the manifestations of the problem stem from politics and morality. There is evidence that no state in the union need have inferior unequal education for its children based on the shortage of money.<sup>5</sup> The political choices of how resources are allocated are the exclusive causes for inequality in education. Beginning with the Presidency and including the Congress, the pattern of self-serving choices pervades the atmosphere in which questions of school finance are being decided.

The statement by Elliot Richardson to the Ways and Means Committee properly notes that:

Property tax levies have reached the point of revolt in several states. School bond issues and tax levies have been defeated with increasing frequency. The consequence has been school closings in some areas, threats of closing in others, and widespread public uncertainty in many more.<sup>6</sup>

Richardson noted the creation of the National Finance Project and the President's Commission on School Finance, as well as a special non-public educational panel.

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<sup>5</sup>Melville Ulmer, "The Report of the National Education Finance Project," Gainesville, Florida, 1971, and the Testimony Before the Education Sub-Committee.

<sup>6</sup>Statement by Elliot Richardson, Secretary of Health, Education and Welfare, before the Committee on Ways and Means, United States House of Representatives, August 14, 1972, pp.3-7.



He might have included the congressional hearings on Financing Elementary and Secondary Education conducted between February 28, 1972, and May 11, 1972. He also restated the President's goals for Educational Reform as: (1) A fair and equitable system of school finance, (2) property tax relief, and (3) preservation of local control.

Richardson then dwelt on a proposed law--The Public and Private Education Act of 1972--HR 16141. This law seeks to equalize the intra-state expenditures for education through full state funding of public education. He cited certain aspects of the bill as praiseworthy, but observed that it did not address the President's tax relief priority. He said that the bill had "inadequacies" which precluded administration support for the bill. He said that "we are still intensively engaged in the review and analysis of this very complex subject in order to determine our own recommendations. . . ."

Mr. Richardson referred to the "consolidation and simplification" of Federal programs and pointedly assailed piecemeal categorical grants in an introductory portion of his statement which reminded the Committee of the President's Bill--for "special education revenue sharing, introduced in April, 1971, and currently pending before the Education and Labor Committee as HR 7796." Mr. Richardson made the reminders as an overt political gesture because

there were events which had transpired far enough in advance to influence him if he wished to be influenced by clearly established and documented trends which were public knowledge and available to him.

In January, 1971, Carl Perkins introduced a bill authored by Mr. Pucinski, designated as HR 44 which called for Federal assumption of one-third the cost of elementary and secondary education and would establish a floor of \$12,000 for every student. In April, 1972, the testimony of Roe Johns, the Director of the National Education Finance Project, mentioned by Richardson, was recorded by the Education and Labor Committee and in the same set of hearings, Norman Karsh reported the findings of the President's Commission on Finance. All of the evidence given by these gentlemen supported full state funding with Federal assistance flowing through the state and proposed a wide range of models for achieving it. In addition, the President's own Commission recommended that the only time funds should go directly to local governments is in a case where the state is unwilling or unable to support a program. Lastly, his own Education Commissioner, Dr. Sidney Marland, was cited by Mr. Pucinski for his support of the full state funding concept supported by HR 44.

The administration apparently cannot pay people to say what it wishes to be said in support of Education Revenue Sharing. This is a strongly supported conclusion based on Mr. Richardson's rejection of HR 16141 and his claim to be intensively reviewing a subject which as all evidence available to him indicates, is not going the administration's way. Mr. Richardson in his tenure as Secretary of Health, Education and Welfare, tried stoutly to sell the administration's "social" programs, but as of this date has not succeeded. The clash of political views and the intransigent failure of the President to see what is clearly the direction indicated by legislatures and by educators is the real determinant of the status of school finance in the United States.

### Technology

There are two aspects to the term technology. There is the educational technology which refers to and is limited to the education "hardware". There is also the aspect of technology which characterizes our economic industrial system.

Both technologies can be depended on to influence the universe of forces comprising the education system. The first aspect of the technology to be discussed will be the educational set. A program officer in the Office of Education is by identification involved in this because it is one of the thrusts of the Office. Another link with that

technology is the set of Congressional Hearings held on "HR 4916, a bill to improve educational quality through the effective utilization of educational technology."<sup>7</sup> There are a few facets of the bill which a program officer should be aware of as it is shaded by the legislative process into a final law and ultimately to programs.

The list of testifiers is heavily weighted by officials from radio, television, movies, computer firms, film and trade manufacturers, publishers and producers. Vice presidents for sales, marketing, development, and education products were the functional officials from the corporation. International representation came from Japan, Holland, and England. Higher education was represented by the Director of Instructional Technology at Indiana State and the Associate Dean of New York University. There was no one from a school, a school board, a school system. There was no one from any teacher training or administrator training department of any school of education. The law was decided upon by the business men and producers exclusively, but the statement of purpose accompanying the bill included the intent to strengthen "the capabilities of teaching, administrative and ancillary staff in schools" and to strengthen "the leadership resources of state educational agencies in

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<sup>7</sup>Congressional Hearings, HR 4916, Washington, D.C., May 5 and September 13, 1972.

educational technology." Ten per cent of the money authorized is scheduled to be spent for research by a wide range of public and private agencies. The remaining 90 per cent is to be controlled by the state education agency and channelled directly into institutions of higher education or local education agencies which can do business with the corporations.

In introducing the legislation, Mr. Brademas noted the presence before the Committee of Legislation creating the National Institute of Education and allowed as how questions pertinent to the subject of educational technology "must be on the agenda" of the proposed new agency.

Why would the fate of the educational technology bill be placed in the hands of businessmen? The answer would seem to be that the matter was a bigger economic question than an education question. Looking back over the education universe of forces where it interfaces with the economic sphere would make it logical to view the matter from the point of view of the driving force. In his description of the "technostructure," Galbraith pictured an interface where the interests of the "education-scientific estate" were indistinguishable from each other.<sup>8</sup> An education-industrial complex to take the place of the waning military-

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<sup>8</sup>John Kenneth Galbraith, The New Industrial State (New York: Signet Books, 1968), pp. 71-81.



industrial complex is approachable through the growth of the education technology business which has been given formal legal status. If schools are to be the conduit through which Federal money is fed into a new account in our national income structure, they should prepare their students to be a part of the reward system along the way.

The unions have an anticipatory interest in education technology and are naturally concerned with anything which implies a threat to teaching positions or other requirements not covered by existing union contracts. Administrators have an interest in technology applications for evaluation. Economists have a stake in the cost effect aspects of education and could make use of technological assistance in that realm. However, the vocational education forces have the widest range of interest in education technology and the broader economic industrial connotations of the word technology.

There have been a number of persuasive, sophisticated far reaching, and inclusive presentations on the relationship between technology and education by spokesmen for vocational interests. A typical presentation, on the topic of "preparing supportive personnel for new and emerging technologies" by Brookings, pointed out the need for lead time in preparing new kinds of technicians whom he classified into three groups seen as vital to the nation's workforce:

1. Professional scientists, engineers, or managers who can be educated within a baccalaureate program or by one to three years of specialization beyond the baccalaureate. These are the professional workers.
2. Technicians and other specialized supportive personnel who usually require two to three years of rigorous specialized post high school education different from the first two years of a baccalaureate program.
3. Skilled workers in the field who are usually taught their specialized skills in a few months to a year in an on-the-job or orientation program.<sup>9</sup>

He listed five more areas useful to a program officer wishing to characterize the need for technicians or to justify for programs purposes the existence of technology. Among the primary means of identifying a new technology were:

1. The application of scientific knowledge in a specialized field large enough to require a division of the work to provide research,

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<sup>9</sup>Walter J. Brookings, Program Officer, Technical Education. Presented at the Technical Education Clinic co-sponsored by the U.S. Office of Education and the American Technical Association, Miami, Florida, April 25, 1970. pp. 3-7.

development, production and service.

2. Two to four years of study required to learn the basic science, mathematics, physical science, or biological science related to the field.
3. Commonly recognized clusters or groups of related employment categories.
4. National scientific or technical societies or associations.

Among the new or emerging technologies seen by Dr. Brookings as being in demand by the present and foreseeable social environment is in the area of environmental control. Another larger area requiring technical specialities is that of the solution of the problem of urban living. He lists public service specialists, medical and related health specialists, agricultural, marine biology, aero space, and a host of subspecialities which parallel the "popular and political" career education format. One might guess that the patterns of thought conceptualized by Brookings did not appear in the later development of Career Education by pure coincidence.

Technology in industry was discussed by Maxwell Hunter, II, in an article written for the Harvard Business Review. His point of departure is that technological innovation in industry is subject to human motivation and

reactions which adversely effect the rate of progress in technology.<sup>10</sup> He maintains that there is a tendency toward suppression of technological advances which is either a product of protectiveness or of simple fear. Hunter outlines the anatomy of suppression and ties it to the many and varied incentives for bad planning. His conclusion is that because of this unfortunate set of relationships, technological development is revolutionary rather than evolutionary as is generally perceived.

In the same magazine, Ayers states:

The rapid spread of an escapist's 'drop out' philosophy among the young in recent years certainly suggests that Western scientific materialism may not, after all, be the inevitable wave of the future.<sup>11</sup>

He elaborates on the failure of the various "isms" to "command the loyalties of men" and offers the choice of one or two directions. The choices are "new creeds less conducive to the fostering of scientific research as we know it," or "that science itself is to be the new religion of the world."

The philosophical foundation which fostered the

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<sup>10</sup>Maxwell Hunter, "Are Technological Upheavals Inevitable," Harvard Business Review, September-October, 1969, pp. 73-83.

<sup>11</sup>Robert U. Ayers, Technological Forecasting and Long Range Planning (New York: McGraw-Hill, 1969), cited in Harvard Business Review, September-October, 1969, p. 83.

adaptation of men to machines stressed the interchangeability of man. The technology was treated as the constant and reliable factor while mankind was seen as a somewhat less efficient factor in the science-management continuum. The pendulum swung in the other direction with the adoption of the human relations approach to the management of organizations. The human relations approach retained the assumption that machines and technology were "givens." What it did was to suggest merely that the human beings involved be treated a little better so that they could produce more efficiently.

The latest view point is articulated by Scribner in a discussion of Socio-Technical Systems.<sup>12</sup> He traced the origins of socio-technical systems to a study by Emory and Trist which indicated to them that the socio-psychological system and the technical systems were interdependent and that it was necessary to consider the two systems at the point at which they overlap rather than the areas of distinct difference.<sup>13</sup> This led to the eventual design concept for organizations in which one system did not operate at the

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<sup>12</sup>Jay D. Scribner, A Proposal for the Development of Managers of Educational Change, submitted to the U.S. Office of Education, Washington, D.C., June, 1973.

<sup>13</sup>F.E. Emory and E. L. Trist, Socio-Technical Systems in Management Science: Models and Techniques, Edited by Churchman, et al. (Oxford, England: Pergamon Press, 1965), pp. 83-87.



expense of the other. Further refinement has developed the view of the organization as a multi-system network of many interdependent systems. The same concept can and should influence the actions of a program officer and must be supported by the makers and the managers of public policy.

Evidence of support by policy makers is contained in the legislative proposal for an Office for Federal Technology Transfer.<sup>14</sup> The expressed legislative intent is to transfer to "state and local governments, businesses and non-profit private agencies and organizations of Federally developed technology. . . . Scientific and technical knowledge developed in the course of any Federal programs." The bill allows the President to transfer to the director of any agency

any functions of any other department or agency of the United States, or of any officer or organizational entity thereof which relate primarily to the functions of the director under this Act.

This Act would allow the President to transfer the functions of the Educational Technology Act to the new office. A framework for linking the activity of a program officer in the Office of Education to a larger network--or socio-technical system--intended to include all units of government and appropriate private institutions--is being set in

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<sup>14</sup>U.S. Congress, House, Federal Technology Transfer Act, H.R. 1676, 93rd Cong., 1st Session, January 9, 1973.

place. A program officer's relevance or obsolescence can be indicated by the extent to which he is ready for the newly emerging public policy for technology.<sup>15</sup>

### The Labor Force

The changes in the nature of the labor force are a barometer which forecasts the changes in the expectations and performance of parents and children. The program officers, the institutions of higher education, and the education administrators must have greater familiarity with the "public mind" than hitherto demonstrated. Program officers should be aware of the need to know and should use the unique role they play to assure that the teachers and higher educators are responding as appropriately as possible to the collective mind. The responses can take a variety of forms, but three prominent responses involve accommodation, information and direction. The program officer can provide critical information at all levels which can indicate directions and rates of the trends which affect the way laws are

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<sup>15</sup> Further development of the role of technology is found in Probes of Technological Future, by H.Q. North and D.L. Pyke, and Managing Technological Innovation, by D.L. Schoen, in the May-June, 1969, issue of the Harvard Business Review. Galbraith, as previously cited in The New Industrial State, discusses "Technology and the State" and the "Management of Specific Demand" in Chapters VI and XXVIII, and also discusses the "Educational and Scientific Estate" in Chapter XXV. The obvious advantage of having been ahead of their times manifests itself in the current timeliness of these writers.

designed.

One of the most widely discussed matters of concern has been the generation gap. The nature of this gap has roots in the Great Depression which profoundly influenced the perceptions of people who encountered it. There are persisting culture traits which collide with newer cultures and there are amalgams of social stratifications where there was formerly strict division. Johnson and Kotz examined many facets of the relationship between older and younger workers which reflect changes in attitudes that extend far beyond the scope of organized labor.<sup>16</sup> The older union members complain that the younger workers no longer have idealism and no longer care about craftsmanship. The younger men say they do not know anything about the struggle to establish unionism, and that the system treats them like they were "just another tool." The fact is that both sides are quite correct in their assertions. The assumptions which motivate the older worker tend to lead in directions which do not relate to the experience of the younger men.

The authors observed that the attitudes of the younger workers were very similar to their more publicized counterparts on the campus and in the counterculture groups off the campus. The fact is that the college "drop outs"

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<sup>16</sup>Haynes Johnson and Nick Kotz, "The Unions," Washington Post, April 9 and April 18, 1972.

who receive public attention are far outnumbered by the "blue collar" young. The personification of their dissatisfaction is not a vague "society" or "the system." They have direct contact with the world against which they are in rebellion. As parents, these young people will have sets of expectations which may not be articulated in terms the education system can respond to, but the responsibility to respond is in no way diminished. Education will continue to appear to be in conflict with reality until educators learn to translate the language of youth rather than to merely interpret it.

There are changes apart from those occurring directly to members of the manpower pool of which "users" of educational services are a part. Some changes involve what has been generally assumed about the labor force and some others are with respect to the public policy toward education and manpower training.

The U.S. Department of Labor made a five-year longitudinal study of the relationship between selected demographic, attitudinal, and educational characteristics of male youth in the United States.<sup>17</sup> One item in the study concerned the gap in the amount of labor market information

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<sup>17</sup>U.S. Department of Labor, Manpower Administration, Manpower Research Monograph, XVI, 122-129.

possessed by black youths as compared to white youths. This gap was shown to affect the kind of job sought, obtained, and retained by each group. The information is not directly supportive of the advocates of the Career Education concepts. It noted that "to some extent, it appears that education can operate as a substitute for labor market experience," but did not elaborate. However, the report did state in no uncertain terms that those in the vocational curriculum have the lowest scores in knowledge of the world of work while both blacks and whites in college preparation programs have the highest scores. The test required familiarity with occupations such as medical illustrator, draftsman, social work, and other not particularly vocational skills. It would seem that information on job possibilities is important, but the method used to make such strong conclusions should be examined by program officers before accepting this study as valid.

Another study sponsored by the Committee on Equal Opportunity noted what they called a "mismatch" between the individual and the environment provided by the high school. They suggested that "there is room for change on both sides." But they pointed out some of the "important elements" in the mismatch. They listed academic ability, past failures and delinquent behavior among problems their study showed to be unlikely to be resolved in high school



and suggested that persuading a young man to remain through the last year of school would make no difference. The line of thought concurs with the assertions of businessmen in regard to the low quality of high school graduates. The statement could be made that the study completed by this committee could not tell the difference between the stay-ins and the drop-outs.

A third study presented as the Annual Report of the National Advisory Council on Adult Education cited seventy million persons over 16 years of age who have less than a high school diploma, and the potential costs in terms of crime, unemployment, and illiteracy, plus lengthening welfare rolls.<sup>18</sup> The Council recommended courses of action which included career oriented education for adults and a single agency "to be held accountable for the coordination of all adult education services financed by the Federal government." They referred to the present Career Education Program as "too little and too late" in its planning phase for the adult citizen.

All three of the reports deal with separate sets of complex and interdependent realities. Each of them agreed, however, that the existing point-to-point, time-learning model of education does not give adequate service to the consumers of the education output. The three investigations

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<sup>18</sup>House Document No. 92-302, 92nd Cong., 2nd Sess., May, 1972.

left much room for the argument that vocational and personal achievement begins, is developed, and culminates within spheres of influence included in, but not central to, the thrust of contemporary education.

A theme which can be found to exist in all three reports was summarized by the National Advisory Council in a statement referring to Career Education. They said:

Career Education should reform the entire education process on the basis of people learning throughout their lives at times when learning best takes place. Lifelong learning, as opposed to extended schooling which ends at a point in an adult's life, is a reality of our service occupation-oriented society. To accurately reflect this reality, Career Education must adopt a lifelong learning approach based on problem solving.<sup>19</sup>

This mode of thinking reflects the type of "political intelligence" currently available to the U.S. Congress. It makes it clear that: (a) Congress is not likely to be pushed into a course of action which is supportive of a presidential design which is out of step with the times, and (b) A program officer must now succeed, if he does, in a gray area influenced by the differential rate of change occurring in the worlds of education and labor. Rasow suggests that reform of American education should be guided by "a radical reform of the American educational and labor force entry system."<sup>20</sup> He sees the world of work and the

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<sup>19</sup>National Advisory Council, p. 12.

world of education joining together in a partnership where:

1. The school gets feedback from the employer on what educational deficiencies need correcting.
2. The employer gets advice from the school on the individual needs and characteristics of the students.

At best, a program officer will have a difficult time helping to create the instruments of public policy required to link new people, old leadership and changing times into a functional program.

### Organized Labor

There are two aspects to organized labor which touch upon education in an influential way. The first is a three-way combination involving organized labor, technology, and education. There are certain technologies which will replace human manpower, and even though the adaptation of these advances is inevitable, resistance by organized labor is also inevitable. Organized labor will be seen as holding up progress, backward looking, reactionary, and probably un-American.

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<sup>20</sup>Jerome M. Rosow, "Can We Afford Tomorrow? Human Resources: Retooling Our Manpower," Saturday Review, Education (January, 1971). (Mimeographed)

Galbraith described a techno-structure consisting of scientists educators, technicians, and managers which, he asserts, are now the dominant force in the industrial-technical society.<sup>21</sup> He goes on to discuss the notion that "to substitute capital in the form of machinery, the supply and cost of which are largely under control, for labor which is not and can strike is an admirable bargain." <sup>22</sup> He refers to the Manpower Report of the President and observes that the number of professional and technical workers, the category most characteristic of the techno-structure, has approximately doubled during the period of the report.

Industrial output has increased in the dramatic increments recorded in annual economic reports. Yet Jerry Wurf reports a declining union membership.<sup>23</sup> He wrote:

The numbers tell a story of a labor movement that is not holding its own as the work force swells and reflects the heavy service and professional character of post-industrial society. Last year, unions represented only 26.7 per cent of the non-farm work force, down from 35.5 per cent in 1965.

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<sup>21</sup> Galbraith, The New Industrial State, p.

<sup>22</sup> Ibid., p. 276.

<sup>23</sup> Jerry Wurf, "Labor's Battle with Itself," Washington Post, October 14, 1973, Sec. C. p. 3.

Galbraith further explains that:

In fact, the industrial system has now largely encompassed the labor movement. It has dissolved some of its most important functions; it has greatly narrowed its area of action; and it has bent its residual operations very largely to its own needs. On closer examination, it is seen to reveal many of the features of Jonah's triumph over the whale.<sup>24</sup>

Labor is seeking a guaranteed annual income and a four-day week. The four day week is in effect in the VEGA Assembly Plant with the attendant public scrutiny, and the guaranteed income is being studied. Neither of these "advances" will mean much if the trend toward automation with the concomitant obsolescence of current skills continues.

Somewhere and sometime the notions of life time education, retraining, adult education and continuing education are going to become public policy and publicly supported. Before this occurs, however, the higher education component of the universe of forces will have come to a decision on what role it can best play in the face of increasing demand, reduced income, higher costs and the challenge of the state higher education systems.

When access to higher education becomes a routine expectation instead of a rare privilege, the labor force, organized labor, and management can join with the education establishment to create new career concepts. Organized

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<sup>24</sup>Galbraith, The New Industrial State, p. 290.



labor has cautiously approached the idea of four days work and one day of formal study. The idea is operationally unfeasible from the point of view of the colleges and universities and the accrediting agencies. However, the idea does exist and may take hold in forms not presently envisioned.

The problems of organized labor and continuing education are made more complex by the second of the two aspects of organized labor mentioned earlier. The combination of organized labor, educators and school systems is a factor which must be viewed as influential and contradictory. Teachers' labor organizations cannot operate on the closed shop basis characteristic of craft and service unions. Therefore, they must rely on impact issues which elicit emotional responses to real or imagined threats to teachers' welfare tenure or wages.

The expectation is that the teachers will join the union and pay dues out of fear or some other strong feeling. Unions have very successfully created issues and fanned strong responses into existence. Usually they polarize teachers around a challenge to a school superintendent or a school board or a principal. The fact that the "patsy" is limited by budgets or statutes or by-laws makes the challenge easier. The practice is to equate the demands of the union with the "welfare of the children" in the hope that uninformed parents will exert political

pressure. The pressure may be direct or it may be indirect--no matter.

If blacks, or the Spanish-speaking can be polarized or made to appear to be, it can be turned to a negotiating advantage. The phenomenon of teacher militancy must be directed so as to create the illusion of indispensability of the union leadership. It must also successfully 'intimidate' the parents. In the past, bond issues, deficit spending, tax increases, etc., were routinely approved by the parents. The contradiction and the paradox is that the teachers and college professors are becoming most vocal and most militant when there is the least amount of money available and when the "product" is under severe testing from all sources.

The union movement appears to be succeeding at the precise moment when it is in no position to deliver security, higher pay, or better working conditions. Union history makes it clear that hard times always increase union membership. The rolls of union membership expanded in the post 1929 Depression era and at other eras of trauma for labor. The affluence of industry generated the current attitude toward union membership described earlier. The sellers market for education, having reversed itself, now has the educators in the same frame of mind as all of the others who looked to the union when the money supply began to fail.

A program officer must be aware that the issues of organized labor, either in industry or in education, are subject to considerations of union survival primarily. As Wurf states it: "Too many American workers do not belong to unions, and too many unions are fighting each other for the right to represent workers rather than working together to organize the unorganized."<sup>25</sup>

### SECTION III

#### Trends Expected to Influence Education In the Future

Federalism proposes technical assistance functions for program officers in the U.S. Office of Education. It is imperative that the rationale be consistent with clearly indicated trends of the future without regard to political packaging. There are three interrelated trends which are part of a pattern of changing political institutions. A good program officer should be familiar with: (1) social reporting/social indicators; (2) governance-accountability; and (3) regional development. The emergence of these ideas is tied to other matters of importance: the aforementioned change in the image of the politician; the change from war/defense to peace as the prime determinant of economic policy; and the change from race and sectionalism as political

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<sup>25</sup>Wurf, "Labor's Battle With Itself".

issues in America.

The total effect of so many changes demands new sources of reliable information for the law makers at all levels. Metropolitanism is replacing the urban-suburban context with the new "metropolitics;" and regional economic policies have begun to obscure previously established formal boundaries for geopolitical demarcation. As a result, legislators who have been accustomed to treating political sub-systems as if they were interchangeable with social units must seek what Schneier perceives and describes as "alternative information systems" to meet the need for coordination, planning and control.<sup>1</sup> An imperative for a program manager is that he/she participate in the establishment of reliable and relevant data sources. Since program people are frequently called on to testify before the Education and Labor Committee, the advantage of being abreast of the times would be enormous.

#### Trend No. 1. Social Accounting

Although "change" and "reform" and "renewal" are bandied about in education circles and particularly in the Office of Education, there is no reliable data base to

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<sup>1</sup>Edward Schneier, "The Intelligence of Congress, Information and Public Policy Patterns." The Annals of the American Academy of Social and Political Science, March 1970, pp. 27-35.

support anything more than superficially obvious conclusions whose merits are in the publication credits earned by their authors. The presumed social and economic functions of education are not demonstratably arranged to support a contention that reform does or does not make a difference. Two new fields of inquiry have arisen in the "sixties" which will profoundly effect what is thought, what is said, and what is done by educators, politicians, and the consuming public.

Education economics is one along with the concept of social accounting which by its breadth absorbs education economics. Cazes traced the recent interest in social accounting from an assignment given to the American Academy of Arts and Sciences in 1962 to study the possible effects of the space program on American society, to the political application of social indicators, introduced in "Toward a Social Report" which was a HEW document developed at the close of the Johnson Administration.<sup>2</sup>

Richard Nixon created a "National Goals Research Staff" to observe and report social indicators which would reflect the present and future, quality, direction and changes in American life. The inference is clear that just

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<sup>2</sup> Bernard Cazes, The Development of Social Indicators: A Survey, Social Indicators and Social Policy. Edited by Andrew Shonfeld and Stella Shaw (London: Heinman Educational Books, Ltd., 1972), pp. 8-22.



as the federalism trend which has been a part of administration thinking in recent years has persisted in one form or another, social reporting and accounting will be a part of the arsenal of ideas of American leadership for a long time to come. The involvement with social indices is not limited to the Executive Branch of the Government. The Congress has awarded contracts to extend the use of computer technology to aid in the information and analysis capability of that body. Although HEW does not appear to be following up on the potential for the utilization of social information, the Office of Statistical Policy in the Bureau of the Budget, is still working on a consistent system of social indicators. The transfer of Mr. Weinberger from the Budget function to HEW created speculation of his role in the delivery of a "social report." Prior to 1973 there was a law under consideration, sponsored by Senator Mondale, for the creation of a committee of social advisors to the President. This bill would have supported the Johnson request for the establishment of social information to supplement the economic data. The Bill was updated and on September 11, 1973, was referred to the Government Operations Committee.<sup>3</sup> A

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<sup>3</sup>S.5, Full Opportunity Act--National Goals and Priorities, January, 1973.

Democratic Congress with an emerging idea may succeed with this Act.

### USOE Participation

There is a striking absence of activity by the Office of Education related to applications of social reporting. This observation does not carry with it the notion that the units responsible for planning, research and statistic gathering are not aware of the concept. What it does mean, however, is that the major programs have shown no evidence of awareness of an eventual social report materializing. The reports of the Education Commissioner mentioned several programs planned for the future and a number of changes which will be data systems oriented. The development of the information codes is one example and the spectacularly unwieldy uniform grant process is data adaptable, even though one is tempted to ask why.

The National Institute of Education would be the logical agency for the gathering of social statistics deriving from education functions. However, in the list of possible functions to be performed by NIE, there was no mention of a social report or anything that could be construed to suggest that social accounting was to be included.

## Popular Consumption

Among the first articles written for popular consumption was one which appeared in the Saturday Review in 1968. The article argued the need for the computation of the Gross National Disproduct to be subtracted from the Gross National Product to establish a truer picture of economic and social performance.<sup>4</sup> The pre-condition to this would be the establishment of a social value system commonly agreed upon. The author suggested a set of values to exemplify what could be done. In 1970, two researchers set out to explore the usefulness of values as social indicators of underlying social problems. The authors used a set of choices as the means to establish the nature and extent of culture differences existing among persons in groups of differing socio-economic status and race.<sup>5</sup> The findings indicated that the so-called "culture of poverty" indicated by Moynihan does not exist.<sup>6</sup> They did find a

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<sup>4</sup>A.A. Berle, Jr., "What GNP Doesn't Tell Us," Saturday Review, August 31, 1968, pp.10-12, p.40.

<sup>5</sup>Milton Rokeach and Seymour Parker, "Values as Social Indicators of Poverty and Race in America," The Annals of the American Academy of Social and Political Science, March, 1970, pp.97-111.

<sup>6</sup>The Negro Family, U.S. Department of Labor, Office of Policy, Planning and Research (Washington D.C.: U.S. Government Printing Office, 1965).

difference between groups of high socio-economic status persons and groups of low socio-economic status regardless of race.

The difference which the authors singled out was in the realm of what Maslow would call "self actualizing" values.<sup>7</sup> Poor people put a lower value on a

sense of accomplishment, wisdom, being capable, imaginative, logical and intellectual. The poor placed a high value on "a comfortable life" and "true friendship", "being helpful, obedient and polite." Both rich and poor placed choices dealing with pleasure or excitement far down on the list of choices.

Persons involved in education programs should be aware of the differences and similarities existing between the rich and the poor. The assumption of differences without knowledge of those differences can cause decisions to be made which can have strong repercussions in communities both rich and poor. The popular image of the poor--reveling, carefree, and indifferent in their squalor--appeared not to have been conjured up by the poor. Now statistical indicators support the conclusion that it was someone else's idea.

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<sup>7</sup>Abraham H. Maslow, Motivation and Personality (New York: Harper, 1954).

### Recent Activity

The concept of social indicators is new in the extent to which the technology and comprehension of the subject has advanced. The most prominent examples of the American grasp is the technology-society-education continuum came not through the domestic programs, but through our foreign policy. The Point Four programs of technical assistance invariably related culture, education and manpower to the economic development of the emerging nations. Paradoxically the same economists who, as Berle suggested, were given no "mandate to set up a social value system for the country" paid undue attention to education.<sup>8</sup>

In America domestic education is determined by economic criteria, but the economics of education is a slightly developed art. Socio-economic determinants are discussed most fully by economists and not educators, despite the indication that education accounts for almost ten per cent of our GNP.\*

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<sup>8</sup>Berle, "What GNP Doesn't Tell us," p. 10.

\*Dr. Sidney Marland, May 10, 1973, said that the "education increment was 'over nine per cent of the GNP.'" (Remarks made at Ed Fair, 1973, Statler Hilton Hotel, Washington, D.C.).



In learned societies, social scientists discuss social indicators and include education, but it is significant that the discussants in this case are public administrators, psychologists, economists, and sociologists.<sup>9</sup> When the same society turned its attention to education, no educator discussed social accounting or any of its other labels-- "social reports," "social measurement," "social indicators."

Perhaps, educators have little to contribute to the discussion, but a program officer cannot afford the luxury of not knowing what other disciplines have decided is the proper role of education. Sheldon and Moore in discussing the "Intellectual System" wrote:

In the future as the primary source of innovation and thereby bearer of change, it begins haltingly to replace the economy in carrying out the adaptive functions of the society. Education as the purveyor and distributor of knowledge is becoming the major determinant of the stratification system. For better or for worse, our society is beginning to place almost exclusive reliance on educational attainment as the sorting mechanism for adult occupational position.<sup>10</sup>

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<sup>9</sup>"Social Information for Developing Countries," The Annals of the American Academy of Social and Political Science, January 1971.

<sup>10</sup>Eleanor Benert Sheldon, Wilbert E. Moore, eds., Indicators of Social Change--Concepts and Measurements (New York: Russel Sage Foundation, 1968), p. 14.

## Classification of Efforts

Galnoor summarized the various catagories of Springer into four areas calculated to ease the management of society by those who assume or seek or are assigned the responsibility for the task.<sup>11</sup> The four clusters are:

1. Monitoring Social Change.-- This approach is concerned with the identification and measurement of major structural changes in society, and with projections of trends into the future. He lists Sheldon and Moore as good examples of this approach.<sup>12</sup>
2. Predicting, Forecasting, Anticipating the Future.-- In general terms, this school of thought is directed to "scenarios of alternate futures and technological forecasting." This approach is said to be useful for "current policy makers and for crisis prediction."
3. Assessing the Impact of Government Activities.-- The essence of this approach is improved policy making, planning, controlling and evaluating government activities, making budgetary choices

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<sup>11</sup>Itzhak Galnoor, "Social Information for What?" The Annals, January, 1971, pp. 13-14.

<sup>12</sup>Sheldon and Moore, Indicators of Social Change.

and for assessing government contributions toward national goals. It is seen also as useful for identifying and anticipating explosive social problems.

4. Application of General Systems Theories.--

The systems approach aims at developing a comprehensive model for conceptualizing systems structure, performance, and interaction with environment and for suggesting indicators to describe or measure them.

Conclusion

Programming, planning, and budgeting for the management of public policy toward education is directly influenced by the quantity and quality of information and by the way information is used. Indicators are not answers to problems facing American society. Social accounting will only tell what has happened and what has a good chance of happening. Program officers as major contributors to whatever does or does not occur in the education milieu can utilize the "early warning system" which this process provides.

## Trend No. 2. Governance and Accountability

The terms governance and accountability are used in connection with each other and are sometimes interchanged--incorrectly. Governance can be achieved without accountability. Accountability in the modern experience is subject to legal, political and bureaucratic influences. These influences can limit the effectiveness of governance to the extent that it can bring the whole process to a standstill. Amatai Etzioni has described the American government under the present administration as having achieved that distinction.<sup>13</sup>

The program officer will encounter governance and accountability in several aspects which will be considered here. The concept of governance is more a controversy than a concept at this point in time. The perceptions of governance vary widely and issues fluctuate between the state level and a variety of claimants to the responsibility for control. At issue is custom, privilege, power, prestige, new forces versus old, and ultimately--who pays. The matter of governance was discussed by Perkinson who wrote:

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<sup>13</sup>Amatai Etzioni, "Government at a Standstill," The Washington Post, October 14, 1973, p. 16.

Everywhere critics challenge the state, the church, the school, the family. The charge? Authoritarianism. The solution? Self protection. . .so long as they remained more or less peripheral social institutions, schools and colleges had limited power over the lives and destinies of most people.<sup>14</sup>

He described the way war, bureaucracy, technology, all combined to make school "the great selector" and added that:

Schools and colleges now become the most important determiner of the winners and the losers in the struggle for survival. They determine who goes to war, who not; who gets the best jobs, who not; who wins, who loses.

Given the truth of that argument it is little wonder that groups of concerned people would be colliding with each other in a rush to control the schools. Control of schools is a complex task if one recalls the universe of forces previously described as impacting on the schools. The education system as a determinant is under the scrutiny of higher education, the state, business, the Federal government, the community, and organized labor.

Governance involves four discreet functions. The political function involves the allocation of resources and the trade offs with other claimants for public money. Fiscal governance involves the way money is raised for public

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<sup>14</sup>Henry J. Perkinson, "Governance and Accountability," New York University Quarterly, I (2) Editorial Page, 1970.



purposes and the way it is managed thereafter. The options and constraints which influence who goes where and gets what after he arrives comprise the legal function. Finally, the operational function involves the organization, interrelationships with other systems and the arrangements for delivering educational resources.

### Big Cities

The problem of governance in general and the governance of schools in particular appears to be best discussed in terms of the big city experience. Big cities are a microcosm of the larger set of complaints leveled at our society, our economy, and our politics. Whatever happens anywhere can usually be found happening in cities faster, more intensely, and on a larger scale than anywhere else in America.

A study of the 25 largest urban school systems in America revealed strong feelings about governance.<sup>15</sup> Although 60 per cent of the superintendents and school board presidents thought that the large systems were manageable, a substantial proportion, 36 per cent, felt that the systems were ungovernable. In the matter of control the

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<sup>15</sup> Big Schools in America: The Views of Superintendents and School Board Presidents (Washington, D.C.: Survey by the President's Commission on School Finance, October, 1971).

near unanimous reaction was that control should be localized with authority to hire and fire teachers and to make decisions regarding the curriculum retained. They believed that decisions regarding facilities, qualifications, and teacher salaries should be made at the local level. They also believed that the state should establish the standards for certification and be responsible for bringing the teachers up to those standards. With respect to community control, they were less ambiguous. They believed that those who are accountable should be the final decision makers.

The superintendents also cited the failure to equate their educational or operational accountability with their lack of control over the quantity of money made available to them. They expressed

animosity toward the rural and suburban dominated state legislatures, toward municipal governments where schools are fiscally dependent, and toward Federal government which. . . gives money to the state and the municipalities.

The report indicates that the superintendents and the school boards

for better or worse. . . have put themselves squarely in the middle between the state from which they need additional financing and the community they serve and from whom they must have support.

### The State Level

The state is emerging as the power to be reckoned with in the governance of education, and it is a matter more and more understood by chief state school officers, state legislators, and others involved. The call to political intervention in state educational affairs includes advice from a governor, a state legislator, and a political scientist. At the Institute for Chief State School Officers, Kimbrough told the group: "The growth in importance in educational administration highlights the need for empirically based conceptualizations of how and by whom political power is exercised in state level educational decisions."<sup>16</sup> He advised the group that "the term politics of educational finance is more descriptive than the academic term educational finance." In warning the group of the influence of "national, professional, economic and other organizations operating in the state," he envisioned "a political future in which the unique nature of state education legislation will be the exception rather than the rule." He proposed a shift to the "new politics" in which the chief state school officer moves into the mainstream of the state power establishment with a power base other than school teachers, or he continues

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<sup>16</sup>Ralph B. Kimbrough, "Education in the State Political Setting: The Governance of State Education Systems," in The Governance of State Education Systems: Pressures, Problems, Options, Kenneth Hansen (ed.), p. 3.

to be powerless. He pictured the situation in which a passive education system removed from politics, changed to an active system functioning in the political mainstream along with bankers, businessmen, realtors, public officials, and other leaders.

The governor of the state of Oregon addressed the matter of the involvement of educators in politics.<sup>17</sup>

You all deal with legislators, and they are politicians. You deal with voters who are rejecting school budgets by the thousands, and that is politics, too. You must remain on the stump to explain, cajole, and win converts.

He noted that his proposal for tax reform was rejected because it posed a threat to community control. He declared that "there is no local state or any other kind of control of a school district flirting with bankruptcy. To deny a child a year of school is to have lost control not to have retained it." With regard to accountability, he said:

I recommend that you take the lead in settling the question of accountability. I've heard corporate managers demand input-output accountability from schools and it hasn't put me into a world of trauma. We ought to gleefully pounce on the interest that is expressed, examine it with whoever would examine, and determine how we might respond.

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<sup>17</sup>Tom McCall, "A Governor Views the State Education Agency," in The Governance of State Education Systems: Pressures, Problems, Options, ed. by Kenneth Hansen (Wemme, Oregon, July 27-August 4, 1972), pp. 24-29.

The chief state school officers were told by a state Senator that "education is deeply involved with the political process." The Legislative Executive, and Judicial Branches of government get paid to decide among certain priorities, and "education is only one of those priorities."<sup>18</sup>

The Senator talked of the failure of educators to participate in his campaign despite the fact that there were more educators in his district than farmers. His implication was clear--he responded to those who were most responsible for his being in office. He expressed concern for the voting potential of the 18 year-old voter whom he placed in the voting category of the increasing number of voters who rejected education at the polls. He told of the non-credibility of the teaching profession with the age group directly involved with teachers and tried to impress them with the meaning of the situation in which the students could vote on the same educational program in which they were enrolled. He warned that "one thing is certain, ladies and gentlemen: The educational process of tomorrow will be nothing like it is today."

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<sup>18</sup>Steward Bledsoe, "A Legislator Views the State Education Agency," The Governance of State Education Systems: Pressures, Problems, Options, ed. by Kenneth Hansen (Wemme, Oregon, July 27-August 4, 1972), pp. 32-39.



## The Community

The participation of the community in the governance of education has some curious aspects. In the first place, the function of the community as a source of political power appears to be partitioned. School boards speak for them in many cases. NEA speaks for them as parents of children for whose education they are concerned, and teachers' labor groups speak by inference of interest in the same children. The appearance of voicelessness by virtue so many other voices being raised in their behalf seems to prevail. There are also model cities spokesmen, community action groups, associations of parent-teacher associations, ethnic sub-groups, and other amalgamations. This conglomeration of spokesmen can be found speaking for the community at the national level, state level, and very frequently to the principal of the local school.

In a discussion of political influences on curriculum, Mr. Charles Lee cited the impact of such diverse groups as the American Legion, the Ku Klux Klan, the Better Business Bureau, and the NAACP.<sup>19</sup> The net result of the potpourri of "voices" is diminished effect. A legislator under such a diversity of inputs is in position to cast his

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<sup>19</sup> Charles Lee, Executive Secretary, Committee for Full Funding of Educational Program, "Utilization of the Political Processes," address to The National Association of Black School Superintendents, Atlanta, Georgia, July 12, 1973.

vote, not for the best bit of legislation, but for the best political impact for himself. There is a trend toward coalition which has resulted in such unexpected combinations as the local klan chief and the local NAACP head coming to agreement that there were school issues which transcended polarity. In preparation for the educational renewal program, there were many task forces formed to enlist wide participation in the development of renewal from the ground up. One task force resulted in a coalition of people and organizations which would normally be found either going in separate directions or competing against each other. The "community" task force was an example of how diverse groups can unite over a single issue without any of the usual concerns about identity.<sup>20</sup> The very first agreement from the community task force came in the preamble. "Element" two of that preamble stated: "We, the community, are wise to the fact that--there is nothing wrong with our kids--it's the system." Element number four was equally pointed, stating: "What must be studied is not the oppressed, but the system of national oppression." Finally, they declared that

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<sup>20</sup>Task Forces on Improvement and Reform in American Education, Mission Outline and Matrix, Education Professions Development Act, draft copy, July 12, 1972.

the Office of Education should make available sufficient and timely information so that community can effectively deal with present and future program inequities. Only by this cooperation with the community can OE move from being part of the problem to being part of the solution.<sup>21</sup>

### Operational Aspects

The operational aspects of governance and accountability involve two major differences in approach involving closed system concepts and open system concepts. An example of the closed system is the New York City Plan, an "in house" plan which does not include political, fiscal, or legal aspects.<sup>22</sup> This plan is self-contained and places the whole task on the New York City education system. It is intra-systemic as Bigelow perceived it in Project Open. It is aimed at putting its own house in order without regard for what the state or the Federal government or the New York City Council may or may not do.

The intricately detailed system of audit, accountability and evaluation as engineered by Kruger is the Federal

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<sup>21</sup>Minutes of Meeting of the Community Task Force, May 22-25, 1972. (Typewritten.)

<sup>22</sup>"New York City's Design for Accountability," New York University Education Quarterly (Winter, 1973), pp. 10-16.

response to the movement toward governance by way of a system.<sup>23</sup> Strategically, systems such as this put the onus on the state to catch up. Kruger recommended that schools "provide programs which will effectively develop the human potential of a wide variety of client groups within a diversity of service communities."

He developed the theme of "specific politics and procedures directed toward the attainment of accountability objectives," and listed 10 factors of program design, implementation and management crucial to programmatic applications of accountability concepts; namely:

1. Community involvement
2. Technical assistance
3. Needs assessment
4. Management systems
5. Performance objectives
6. Performance contracting

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<sup>23</sup>W. Stanley Kruger, "Implications of Accountability for Educational Program Evaluation." A paper presented by Mr. Kruger, Technical Assistance Coordination, Division of Plans and Supplementary Centers, Bureau of Elementary and Secondary Education, U.S. Office of Education, before the Invitational Conference on Measurement in Education, University of Chicago, Chicago, Illinois, April 27, 1970.

7. Staff development
8. Comprehensive evaluation
9. Cost effect
10. Program audit

Mr. Kruger cited the challenge to demonstrate that "accountability can contribute to the fulfillment of all legitimate concerns."

In assessing the 1970 Amendments to Title I E.S.E.A., Fairley pointed out the failure to establish authoritative reliable standards to test success or failure and the haphazard and subjective evaluations which gave emphasis to resources and processes rather than demonstrated learning.<sup>24</sup> He described the mandate for accountability at all levels of school supervision. Although the main thrust of this action would be directed toward Title I programs, the state had the responsibility for administering the activity and the additional task of enforcing the comparability requirements. This meant that 16,000 school districts would be affected by the new requirements. Further all 50 states would have substantive experience in the management of accountability at the highest level of governance. The

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<sup>24</sup> Richard L. Fairley, "Accountability's New Tool," American Education, June, 1972 (Washington, D.C.: DHEW Publication, O.E. 73-7100). Dr. Fairley is Director of OE's Division of Compensatory Education.



transition from "comparability" to "equalization" is also facilitated by virtue of the merely semantic difference and the technical similarity. Thus, educational readiness for accountability can be accommodated without posing a threat to legislators who are not as sophisticated as Stewart Bledsoe of the State of Washington.

### The Accountable Corporation

A new but unclear model of the closed system of accountability is in the efforts at social auditing made by major corporations. Companies of the magnitude of the Bank of America and American Telephone and Telegraph Company are responding to a form of governance exercised by their stockholders and new consumerism. Business Week carried an article describing and encouraging the idea of corporate social audit which has "captured the imagination of social critics, businessmen, consultants, and professional accountants alike." The point out the practice of the Dreyfus Corporation whose policy is to invest only in what is deemed to be socially responsible corporations. The student led Committee for Corporate Responsibility has attempted to audit the performance of individual companies

in the field of minority hiring, defense contracting, and pollution. The American Institute of Certified Public Accountants appointed an eight-man committee to help develop "standards and techniques for measuring, recording, reporting, and auditing social performance." The article cited sources of potential resistance in the internal structure of the corporation due to deep political and philosophical differences.

### Open Systems

The open system for governance which features accountability is one characterized by direct, open and aggressive participation of the governor, the legislators and the chief state school officer in the process. The open system is not operative in any state as yet, but there are some states which have begun to move in that direction. One state, Massachusetts, has created by special legislation, an independent state agency, the Massachusetts Advisory Council on Education. Its purpose is to recommend policies designed to improve the performance of all public education systems in the state. A study by this agency catalogued the handicaps to governance which stemmed from "the system of interrelationships which have been established by the legislature. . .since colonial days."<sup>25</sup>

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<sup>25</sup> Paul W. Cook, Jr., "Modernizing School Governance for Educational Equality and Diversity," a study for the Massachusetts Advisory Council on Education, Boston, Massachusetts, September, 1972.

The study called for a "system that diminishes the competition between the governments of our cities and towns and our school committees. . . ." The study acknowledged that

the state has created an enormously complex and highly differentiated power structure, such that brain power alone is not adequate to devise methods of implementation where the number of parties at interest is large.

And added that "solutions are vastly easier to find than ways to put them into effect."

The report concluded that the problems of school governance are not the "result of the times" but rather the result of the failure to provide a management system. The recommendations centered on the redefinition of the tasks of the districts and the provisions of more support for district management.

The search for alternative models of systems of governance is currently underway. In January, 1972, the United States Office of Education approved a project at Ohio State University titled "The Governance of Education: State Structures, Processes and Relationships," a study which focuses on the state as the most appropriate entity for the consideration of new models for educational governance.<sup>26</sup>

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<sup>26</sup> A Progress Report on this project was presented at the Institute for Chief State School Officers by the Project Directors, July 27-August 4, 1972.

The study reported the need for balance and the implications for federalism, but then added that states have been derelict in their part. They noted that "while we do not deny the importance of national action, we think that states must be in position to influence and modify that action." They proceeded to examine the critical policy areas which they limited to: (a) professional development and certification; (b) desegregation; (c) planning and evaluation; (d) financial support; (e) district reorganization; (f) teacher bargaining; (g) curriculum reform; (h) non-public school support.

### Conclusion

In both studies there is a strong emphasis on bargaining. In the Massachusetts study, the concern with bargaining was stated directly. "Particular emphasis was placed on relations with teachers in collective bargaining and on relations with municipal officials in the budget setting process." In the Ohio State study, bargaining was made a part of the structure of policy formation. This concern is seen in the deliberations of Mayhew's writing on the governance of higher education, who predicted: "The unionization of faculty members which is proceeding at such a pace that before 1980 one can anticipate a unionized professoriat," and who also foresees that "it now seems reasonable to assume that the various groups representing teachers

at all levels will merge and that by 1980, there will be the educational equivalent of an AFL-CIO."<sup>27</sup>

Darland, writing on the governance of the teaching profession, proposed a five-point design for a self-governing entity which included policy formation and

establishing and maintaining the machinery for the profession to negotiate collectively with hiring agencies regarding matters of welfare, conditions of work, and all matters affecting the effectiveness of teachers.

He proposed that all teachers belong to a federation in the style of eight Canadian provinces and notes the requirement that they lobby in the legislature for better education.<sup>28</sup>

This brings the role of the last institutional actors to be heard from in the governance drama into focus for the program officer to reflect upon. When and as these forces become cohesive, the real challenge to the program officer will also become a fact of life. Governance is to be a pervasive fact of American life, and education will be near the center of the action.

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<sup>27</sup> Lewis B. Mayhew, "American Education Now and in the Future," The Annals of the American Academy of Social and Political Science, November, 1972, p. 55.

<sup>28</sup> David D. Darland, "Preparation in the Governance of the Profession," Teachers for the Real World, ed. by B. Othanel Smith, Saul B. Cohen, and Arthur Pearl (Washington, D.C.: American Association of Colleges for Teacher Education, 1969), pp. 137-146.



### Trend No. 3. Regional Economic Development

Earlier in this inquiry the discussion of power elites included the control of economic resources and the ownership of business. The role of government in the control and distribution of wealth implies a corrolary role in the general development of economic power as a prerequisite to control. The paradox of poverty in the midst of plenty is regional in its down-to-earth manifestation, and the public policy response is regional economic development.

A program officer involved in the design and implementation of programs of education for areas affected by this trend has clear professional responsibility to take this movement into account. There is every likelihood that federalism, Nixonian or otherwise, will require compatibility with regional economic development to be demonstrated as part of the program justification. Therefore, it is proposed that a program officer be familiar with the broad parameters and the portions of the movement specifically involved with education.

#### Broad Parameters<sup>29</sup>

The underlying principle of economic development

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<sup>29</sup>The source of information for these observations is the U.S. Department of Commerce Working Paper No. 6, Office of Policy Coordination and the Organization for Economic Cooperation and Development, Washington, D.C., October, 1967.

involves the fact of differential growth of certain regions of an industrialized nation. The nature of the lag in growth by certain parts of a country is characterized by:

1. The migration of the mobile segment of the lagging area. . .this group includes the younger, more dynamic elements of the community.
2. The concentration of a group of people who have economic ties to the region such as owners of businesses or practitioners of locally based professions and the indigent, the infirm, the handicapped, and those lacking initiative.
3. A decrease in the number of persons employed in the agricultural sector.
4. A decrease in the employment of persons employed in mining activities.
5. The shift of major industries.

Any of these phenomena can trigger a series of related actions which result in the failure to maintain the critical mass of local services, resources and population required to sustain economic viability or to generate or attract additional economic activity. The new thrust of economic policy is based on the expectation that rapid social, technological, and economic changes eliminate some regions from the likelihood of ever developing economically.

This premise is the basis for the further expectation that the social programs for the non-viable areas will be different from those intended for the areas with greater potential for development. The appropriate alternatives for a non-viable site include certain kinds of welfare, the development of new labor skills, attitudes and expectations through education, and financial assistance in emigration to work centers.

A program officer can expect to encounter a high degree of inertia and frustration characterizing the school systems in the non-viable regions. This will include officials, teachers and students. On the other hand, the program officer would be correct to contemplate programs which reflect a developing region's demographic, geographic and economic resource utilization for on-site growth. He/she must allow for cross-cultural, multi-cultural dimensions in the education programs designed for the growth center.

### Subjective Considerations

Regional economic development has deep philosophical questions which involve several areas which overlap similar areas of concern for educators. On governance a big issue is, since

we know very little about the ways in which units of government ought to be organized for the accomplishment of social goals, are local government units, or

combinations of states, the most effective in administering programs of economic development?<sup>30</sup>

The answer may come from educators raising the same question.

On social measurement the concern is that

no one to my knowledge has every really set out to measure what is gained and lost in a community by its expansion, but quite clearly it is a mistake to count some people's gain, ignore other's losses, and use the result to rationalize public policies. . . .

At the same time this statement was being made, social and political scientists such as Berle<sup>31</sup> were making similar observations and writing about them. Educators are still not very prominent in this area.

Under social and cultural obstacles, the report cited "general reluctance to change living styles, settle in unfamiliar environments, and engage in novel activities" as the characteristics of economically lagging areas.<sup>32</sup> These characteristics apply to educationally lagging areas too.

Decisions affecting the mix of factors such as increased national output, the redistribution of income and opportunity, and geographic decentralization and balance,

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<sup>30</sup>Regional Economic Development Paper, Part IV-62, p. 25.

<sup>31</sup>A.A. Berle, Jr., "What the GNP Doesn't Tell Us," Saturday Review, August, 31, 1968.

<sup>32</sup>Regional Economic Development Paper, Part IV-64.

involve amount, proportion and priority. Educators should participate in such a decision and could be very helpful in indicating the need for a political decision by the policy makers based on resource constraints and trade-off among claimants to the resources.

### Technical Questions

Educators should be prepared to contribute in the categories of program design, evaluation and forecasting the environment in which programs of regional economic development will take place.

Program design would include the knowledge of behavioral relations systems analysis, characteristics of the households involved and simulation techniques. Program evaluation would involve the appropriate combination of cost benefit considerations and direct relevance based on intimate knowledge of the individuals involved. The forecasting of the environment will again be made more meaningful if the educational characteristics are properly gauged and the input made. The capacity to respond will be based on the program manager's grasp of the diffusion of technology. The role of the educator must be viewed as an indispensable component of this activity.



## Education

The plan for the inclusion of education in regional economic development has seven elements which correspond to various concepts or categories included in the Mega Plan discussed in Chapter I. These elements will be listed and described briefly, and the corresponding Mega Plan element will be shown.

1. Adult Basic Education.-- "To provide reasonable assurance of substantial progress in instructing adults in reading and writing, and other basic education courses."

Under the basic conceptual positions of the Mega Plan the category which would cover basic education activity would be special revenue sharing in Health, Education and Welfare which would be a locally determined priority under the law.

2. College Housing Construction.-- This program sponsors the construction of housing and related facilities for college students, faculty, and families at public and non-profit colleges. It also covers housing for nursing schools, medical schools and hospitals. Under the Mega Plan, this would be indirectly linked to individual assistance and basic opportunity grants, plus manpower training under the special revenue sharing section.

3. Community Services.-- The category of community services includes recreation, government, transportation, employment, youth opportunities, health and land use. Under the Mega Plan, this would fall under assistance to individuals and families, and special revenue sharing in Health, Education and Welfare. When and if the law is passed, under market service development, this would fall under social services, health services, and service integration. This program will also help colleges and universities to strengthen their community service programs.
4. Health Professions Educational Facilities Construction.-- This program provides grants to construct, expand, repair or replace teaching facilities for medical, dental and other health personnel. In addition, the Surgeon General is authorized to provide consultative services and technical assistance to states or agencies involved in joint, coordinated, interstate, or regional efforts to relieve the shortage of instructors in the health professions. This project involves all three conceptual positions guiding the Mega Plan and includes the health services, social services, post secondary education and service integration areas in the market and services development functions of the capacity building concept.

Its linkage is direct.

5. Higher Education Facilities Construction.-- This program allows state, local, and non-profit institutions to use money authorized under the Higher Education Facilities Act of 1963 to construct academic facilities for higher education, community colleges, and public technical institutes. This Act allows for rehabilitation, conversion, improvement of facilities and the acquisition of equipment. Under the Mega Plan this program would be complementary to the special manpower development activities which include basic opportunity grants for post secondary education. This program is clearly in anticipation of a greater demand for facilities occurring as a result of grants allowing increased access to higher education to more people.
6. Vocational and Technical Education.-- Under the Vocational Education Act of 1963, state boards of education may submit plans approved by the U.S. Education Commissioner to provide construction, teacher training, guidance, and counselling, research, administration, demonstration projects, experimentation, supervision and related services. Eligible persons include the handicapped, disadvantaged, technologically displaced and those who simply wish

to advance themselves.

This plan is broadly involved with Mega Plan activities in the conceptual areas of: (a) assistance to individuals and the sub-area of students' assistance; (b) capacity building and the sub-areas of research, development, manpower development and market and services development. The thrust toward career education is seen as an attempt to systematize and direct the potential force of this Act. The present underfunding of vocational education is a fiscal control over the ungoverned growth that could occur. If the program is intentionally under-funded, it would be a wise recognition of the need to lay the administrative, supervisory, organizational and regulatory foundations which are regularly overlooked in other education programs.

7. Work Study Assistance.-- This program is a not very complicated program aimed at reducing the financial burden on students in the 15 to 20 age bracket. It is authorized under the Vocational Education Act of 1963. Its connection to Mega Plan aims for "assistance to individuals," "student assistance," and capacity building does not require elaboration.

## Summary

The notion of market forces and the principles of a free enterprise economy are not explicitly developed in the Mega Plan. However, the regional economic development plan does include the principle that some areas are not going to be included among the regions to receive the wide range of services and resources to be made available.

Three of the seven activities listed under education, and 26 activities under the categories of business development, natural resource development, human resources, health and transportation are directly concerned with construction. This corresponds to the statement that "regional development must be approached systematically, coping with both social and economic problems at the same time."<sup>33</sup> This also squares with a principle stated on page 25 of the same work which referred to the factors required to establish the "critical mass" referred to earlier.

The impact of the large scale construction of facilities would be seen in the directly related industries such as trucking, warehousing, roofing, heating, building maintenance and supplies. It would also effect indirectly

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<sup>33</sup> Regional Economic Development in the United States,  
U.S. Department of Commerce, Washington, D.C., 1967.



related services, involving housing, foods, recreation, medical, dental, etc. It would be incremental and cumulative and result in a large scale population turnover. This process would require an education system which reflected these phenomena in one set of circumstances while being responsive to them in another.

The relationship of housing to jobs and education is touchy and one of the least viable political issues in America. Dudas and Longbrake studied the impact of Federal programs and reported the development of two distinct aspects.<sup>34</sup> The first was indirect integration which involved public and semi-public service, transportation, education, retail sales and employment. Of this, they wrote:

Apparently, the implication in government support for indirect integration is that this activity will encourage a positive change in interracial attitudes and thus aid in achieving the goal of an integrated society.

The second, direct integration, means residential integration throughout all the neighborhoods in the city. Their study led them to say:

Given the current situation and present trends, it is quite likely that a successfully integrated society will not be forthcoming for at least 50 years.

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<sup>34</sup>John J. Dudas and David B. Longbrake, "Problems and Future Directions of Residential Integration: The Local Application of Federally Funded Programs in Dade County, Florida," Journal of the Southeastern Division, Association of American Geographers, (November, 1971).

However, the authors proposed four processes which they felt could be used to implement direct integration. They were: (a) moving whites into black areas; (b) stabilizing existing transitional areas; (c) dispersing blacks among whites; (d) simultaneous integration. Although some of what was written was not consistent with current realities, the authors do make a case for the integration of middle income blacks and whites. They also proposed the development of interracial, multi-income housing in newly developing areas.

The Regional Economic Development concept would require that multi-income housing be established to support the varying manpower needs of the developing regions. This would represent a departure from government supported indirect integration. The importance of this for an educator would occur in the need to structure education to conform to the multi-cultural character of such a region. The additional potential for the international cities or regions occurring as the outcome of the multi-national corporate development, cited earlier, creates new areas of inquiry for the program officer to prioritize.

The decision to assemble and organize a combination of Federal and local powers such as zoning, and subdivision regulations, eminent domain, and the right of land disposition, and programs of public and private subsidized housing is a far reaching indicator of probably social

change spurred by the unquestioned demand for economic restructuring. This use of law will depend on four factors cited by Wirth as concomitants of the use of law for social change:

1. The qualities of the regulations
2. The qualities of the regulators
3. Qualities of the regulated, and
4. Qualities of the regulatee.

In other words, law depends on

the qualities of its contents and its enforcement process and personnel as well as the resources and support of those whom the law seeks to benefit, and the resources and opposition of those whom the law seeks to change.<sup>35</sup>

The potential for exercising the most profound influence on those qualities exists in the qualities displayed by educators at local, state, and Federal levels in the context of their understanding of the need for reform in this nation.

The combination of the factors discussed above and the presence of new influences on the way an education system must be perceived strongly indicate that:

1. What is generally assumed to be the education system in the United States is not a system

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<sup>35</sup>Frederick M. Wirth, "Politics of Southern Equality: Law and Social Change in a Mississippi County," as quoted by Hanes Walton, Jr., in The Annals of the American Academic of Social and Political Science, (September, 1971), pg. 210.

at all but rather a conglomeration of disjointed parts which sometimes function as a system for a few people.

2. The priorities of legislators, administrators, and the education establishment bear little relationship to the needs and interests of schools and communities.
3. The thrust of a system to preserve itself or to sustain itself is still functioning in a loosely related set of trends which indicate that the power of renewal is strong and lacking mainly the leadership to become fully functional.

## C H A P T E R V

### SKILLS REQUIRED OF A PROGRAM OFFICER IN THE DECADE OF THE SEVENTIES

New trends in the social, economic and political affairs of the nation demand a re-examination and a restatement of the role of a program officer. The shift to some form of New Federalism will not occur outside the context of the other ongoing trends. Change is occurring at such a rapid rate that existing frames of reference are no longer adequate. Far too many decision makers are either seeking instant cures for the symptoms of distress or huckstering the illusion of a cure. Among the great illusions was federalism as practiced by the Nixon Administration. Its choices demonstrated indifferent unawareness of a changing world and at the same time stripped away any vestige of complacency which program managers might still have had.

In the decade of the Seventies the anachronistic strategies employed by the Nixon forces could not prevail--their time had come and gone. The deliberate effort to dismantle the social programs of the Johnson Administration was a gratuitous demonstration of spitefulness. The thinly disguised excuses of "cutting red tape," consolidation of "fragmented" programs, and "bringing government to the people" could in no way substitute for policy based on awareness.



There were two side effects resulting from heavy handed attempts to create the illusion of federalism at the expense of the disadvantaged members of society. First, the rubric "bringing government to the people" through revenue sharing was directly counter to the growing concern in state capitols for improving their systems of governance. The emergence of states as natural as well as nominal leaders of their communities is a good thing. But random distribution of Federal monies not controlled by the state reenforced the existing balkanization of units of local government.

Secondly, the placement of political appointees in operational as well as policy level positions in the Federal bureaucracy caused performance levels to be compromised to the point of simple non-function. Normal management processes were debased to such a state that routine functions became no-win political contests at all levels.

These side effects were not politically recognized because they occurred in areas not generally visible to the "consumers" of public services. Perhaps, in the case of the Nixon Administration, the side effects were the very much to be desired main effects. Managers of public policy must go beyond slogans loudly proclaimed as policy and engage the realities of the decade.

American political and social history indicates the existence of a pattern of settlement into a "vital center" and that many of the extreme positions taken by "interest

group" outsiders reflect the struggle to get to that center. Despite claims by the learned and the unlearned, education continues to be a major determinant of who gets to the center and who remains outside.

If education is a cutting edge, that edge will be sharpened by the impact of new forces and new disciplines which are steadily encroaching on the educational and scientific estate. This implies a change in the role of a program officer. There are new functions, new skills and new areas of insight required of him.

Students of political science are debating the weaknesses of our Federal system, but two emerging ideas will redefine the role of the program officer within that system. The ideas are: (1) Capacity building, which is inherent in the Mega Plan, and (2) Technical assistance, which was a major function planned for education program officers under the renewal program.

Although no policy has been articulated for which capacity building and the technical assistance would be important components, the implicit policy in the regional development plan has the most potential for interface. The likelihood of interface is enhanced by the observation that the real divisiveness in America exists in the sphere of the haves and the have nots. The dividing line is a socio-economic no man's land, otherwise known as the political arena. To cross this breach will require a combination of

will and skill which was not demonstrated during Nixon's first Administration.

There are two sets of processes to be watched in the decade of the Seventies. These will bear heavily on the emerging role of a program officer. The first set is the forces generated by economic, technological and political changes which will require new skills in resource management. The impact of this force will cause existing political boundaries to give way to natural arrangements of resources in regions marked for long term development either as growth centers or manpower sources.

The second set of changes involves new configurations in social, cultural and international relationships. These changes are an unplanned corrolary of a drastically different economic outlook. The loss of our international pre-eminence has not yet taken its full effect on the American people--in part because of natural lags in the sequence of events and in part because of the nature of our leadership.

The sum of the two sets of changes will require hitherto unknown social management skills involving quantification and early warning systems. As systems open up, our leaders will be hard put to claim that they did not know what was going on. The communications explosion, the rise of expectations and the advent of social indicators will heavily influence the Department of Health, Education and Welfare. The nature of that influence--positive or negative--will

depend on the readiness of the Department to cope with new realities.

There are five new disciplines which are sure to dominate the activity thrusts of the Department of Education in the near and ongoing future. Whatever the public policy, its implementation will occur in the context of these forms.

### 1. Systems Approaches and Education

Before this decade ends, the erroneous ritual of applying systems approaches, (designed for winning wars and selling automobiles) to non-objective areas will cease-- hopefully abruptly. This non-art will be replaced by an approach which recognizes the fact that education requires the articulation of:

- A. a statutory system which begins at the state level and includes funding, management, organization, and relations with competing or complementary units with the state; and,
- B. an instructional system concerned with identifying, developing and evaluating a set of materials, techniques, and strategies aimed at the accomplishment of educational goals in the context of existing realities.

State legislators and chief state school officers are in the vanguard of the move toward systems applications for better governance in general. The motion will be slowed by

unions and other limited issue political entities. The final configuration will be characterized by:

1. Problem definition and articulation;
2. System analysis and development; and,
3. System evaluation.

The rate of growth of public sophistication will be a prime determinant of how soon we see the systems approach established.

## 2. Management in Education

There is a clear division between the establishment of a system and the management of that system. The "muddle through" style of management served very well for the managers in the past. There was no accountability except for real estate and hardware, and, the client system was docile. Presently, the nature of the demands on the existing system of education are such that it is impossible for the bulk of persons in charge to manage with any degree of effectiveness.

Education is an elusive art-science-technology which requires orchestration rather than direction. When the act of educating was indistinguishable from training and educators ran their fiefdoms unchallenged, the question of management was moot. The end of heavy handedness in education is here, but there is no neatly organized manual of repairs available for the new managers who will be heard.

However, there are skill sets which can be learned



by the leaders to be. Duval and Wilson enumerated and described five of the skill sets seen by them to be vital to the everyday management of education enterprises.<sup>1</sup>

(1). The analysis of expertise--the management of knowledge

Administration involves managing the relations between the expert and the non expert, the taking and giving of advice. Administrators deal with experts, and are experts. They give advice and they take it. Both aspects are important.

(2). The analysis of coalitions--the management of conflict

Different individuals and groups bring interests and objectives to an organization. The interests vary in their mutual compatibility, partly as a consequence of the alternative policies and options that are provided. Skill at coalition building and assessment are essential.

(3). The analysis of ambiguity--the management of goals

Education leaders and managers of change are constantly involved in decision making under conditions of

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<sup>1</sup>Joan Duval and Dustin Wilson, Leadership and the Management of Change (a position paper related to policy aspects of Parts C and D Education Professions Development Act, Washington, D.C., May-June, 1973).

ambiguity. Not only are they uncertain about the consequences or the alternatives, they are also unclear about their goals, the technologies, and other options.

(4). The analysis of time--the management of attention

Educational administrators, like all managers, operate under time constraints. Time is a scarce commodity. Recent research has indicated that many administrators believe that their time is badly allocated. There have been developed techniques in the management of time in business schools which appear to be transferrable to Educational Management.

(5). The analysis of information--the management of information

Decision making in education involves data. It is essential that the administrator has enough grasp of research design statistics to understand that the logic of decisions and of research are similar and both have strengths and limitations. A program officer must recognize that the practice of management means a head on confrontation with the factors within a system which are directly related to concepts of stability and inertial forces which have traditionally characterized Educational Systems.

Other matters which will call for skills of management on a high scale of performance are sure to arise. Two which come to mind immediately involve the decentralized

decision making process and the use of special techniques such as P.E.R.T. and P.P.B.S. (Program Evaluation and Review Techniques and Program Planning and Budgeting System).

These items are linked together because the first one involves identifying misunderstandings and the second is a means to eliminate those misunderstandings. There are observers who note the feeling of central office administrators that school decentralization is hampered by the tendency of officials functioning in decentralized units of the system to make exactly the same decisions as the officers in the central unit.

The intent to have these men make decisions reflective of their proximity to the situation seems not to be realized. On the other hand the officers in the field indicate the feeling that their ideas never reach the top. Whatever the cause, the cost of replication of the same decision far exceeds the benefits.

What is needed in cases such as this--which will recur-- is a technique for farming out authority and responsibility. P.E.R.T. is best used in the administrative and planning aspects not directly connected with the instructional program and for research projects arising out of program activity.

P.P.B.S. involves need assessment, the establishment of goals, and the determination and allocation of resources. This system provides a framework of logic and rationality

which tells where to look for failures. P.P.B.S. is not new. It is a return to earlier concepts of accountability when there were fewer and less complex factors built into what used to be routine activities.

P.E.R.T. supported by P.P.B.S. allows for analysis and evaluation of program outcomes in relation to the range of inputs. Together they are very useful for large and complex systems. As an approach for practitioners they allow a frame of reference which makes the "greater truth" an objective as well as a philosophical possibility.

### 3. Lookout Functions--Urban Analysis

The "lookout" function refers to the identification and operationalization of policy objectives via a process of elaborating alternative education futures and alternative strategies for meeting those futures, taking into account the constraints of the socio-political environment.

This system of generating policy is compatible with P.P.B.S. systems for smaller units of governments and for the departments of those governments. This system will allow the creation of the city-county-state-regional matrix. The importance of the lookout function will lie in the fact that it provides a rational base for the orientation of the urban area with the rest of the geopolitical universe.

#### 4. Technical Assistance Functions

The concept of technical assistance was extensively utilized by the American government in the activities of the U.S. Agency for International Development. In this context, the Congress played a direct role in the establishment of linkages between government, economics and education in emerging nations. The Point Four Legislation provided for military assistance to appease the generals and colonels who were usually dominant forces in underdeveloped nations, and technical assistance to the rest of the country.<sup>2</sup> The U.S. Development Assistance Team was always made up of an economic officer, a health officer, an education officer, the post's political officer, and the military attache. The cultural and linguistic aspects of development were carefully considered--sometimes too late, and sometimes wrongly--but the recognition of a pluralism was inherent in the considerations. In foreign countries the "revolution of rising expectations" was characterized by the clash between the older traditions and the newer technology. In assessing the impact of new perceptions in old societies Millikan and Blackmer wrote:

men begin seriously to contemplate new values, new forms of political organization, new kinds of careers, new

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<sup>2</sup>81st Congress, PL 535, 1950, Act for International Development, Title IV, Foreign Economic Assistance Act.



access to knowledge, new relations with those who have traditionally been their superiors, their inferiors, and their peers. They perceive new possibilities of movement, new kinds of leisure.<sup>3</sup>

The above was written in reference to emerging nations, and although the authors viewed the United States as having emerged, the description applies exactly to our own domestic situation. In America we contend with newness in the absence of traditions and the presence of technological advancement. Irving Kristols "tradition of the new" would seem to be involved with our contending with woes similar to nations characterized by the countering forces of transition and tradition. It may be that the instantaneousness of our communications technology achieves in months and years what it took centuries to accomplish in older societies.

Mosher described the farmer in terms which would make good sense to apply to teachers.<sup>4</sup> He first described him as a cultivator and a manager and later expounded on him as a person, a member of a family, part of a community and as an individual influenced by traditions. He discussed the

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<sup>3</sup>Max S. Millikan and Donald Blackmer, eds., The Emerging Nations Their Growth and US Policy (New York: Little, Brown and Co., 1961), p. 64.

<sup>4</sup>Arthur T. Mosher, Getting Agriculture Moving, Essentials for Development and Modernization (New York: Frederick Prager Publishers, 1966), pp.28-27.

transformation which occurs as a result of increasing contact with an expanding circle of "research workers, extension agents, government officials, merchants, bankers, teachers and many others." He said that increasing contact brought similar changes to all who participated in the process. He included "every citizen who participates in electing public officials and influencing the laws of his country."

The thoughts written by Mosher are compatible with the thoughts recently articulated by a senior official of the U.S. Office of Education. William Smith spoke of generals who understood weaponry but failed to comprehend the nature of war and of educators who know teaching but cannot relate that skill to the setting in which they practice it.<sup>5</sup> He addressed the transition occurring as a corrolary to an emerging federalism. He accurately predicted greatly altered relationships within the Federal bureaucracy and he tied the redistribution of power and the recasting of hierarchies in a cluster. He listed several "legitimate and plausible functions and capabilities" as having "major implications for Federal staff utilization." He emphasized

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<sup>5</sup> William Smith, Acting Deputy Commissioner for Development, United States Office of Education. Staff Utilization Revisited, an address before the Staff Utilization Panel at the 105th Annual Convention of the American Association of School Administrators, Atlantic City, New Jersey, February 26, 1973.

"the skills of political leadership necessary to clarify national goals, catalyze the formation of new coalitions, and minimize the consequences of destructive conflict." "In both context and style," he declared, "these skills will be exercised with wisdom and discretion. The Federal Manager in Education will be less a boss and more an agent.

His last points were addressed to "the capability to improve the nation's knowledge base for decision making in education" and "the capacity to mobilize the needed support and resources that transcend jurisdictions, without, however, being able to arrogate authority." As this public administrator made clear, the future role of a program officer will be profoundly affected by an elusive combination of factors. Those factors will manipulate the controlling and the controlled sectors of the education universe at the same time, in uncertain directions, and with variable force. Skill in the simultaneous management of myriad delicate balances will determine if, after all, anything is to be said for the reservation of certain important sectors of public policy to something akin to national leadership by the U.S. Office of Education.

## BIBLIOGRAPHICAL ESSAY

The role of the Federal government as a major instigator of innovative and improvement strategies for public schools is recent and difficult to understand. Outside analyses have not caught up with new programs and new roles for program officers, and they often lack a feeling for the non-formal powers and limitations of Federal officers. At the same time, bureaucrats have a difficult time viewing their role clearly because the pressure of daily tasks, the force of gossip and unmeasurable political pressures interfere with a useful analysis of the possibilities and limitations of their own roles. Yet if educators are to offer useful training, and if bureaucrats are to use the best and most relevant knowledge available, some ways must be found to bridge that gap existing between researchers and practitioners. The linking function is an ideal role for a bureaucrat to perform.

The sources for this dissertation reflect the concern for that need and the pursuit of its satisfaction. I have worked for the Department of State, the Agency for International Development, and the U.S. Information Agency as well as serving as a program officer in the Office of Education for three years. From R. Sargent Shriver I learned to view government as a business venture with a

need to take risks and to pursue "new frontiers." I read policy documents, interim policy directives and strategy papers, mostly classified and mostly designed to protect the "interests of government." Jack Vaughn, the regional desk officer during the early 1960's, emphasized the discovery and utilization of the mutual interests of ostensibly competing groups for mutual benefits.

The directors of America's foreign/economic policy developed a system for the management of the processes involved. The processes involved the public sector, i.e., tax payers and the private sector which included the higher education-industry combination.

In the system, which viewed nation states and/or regional groups as centers of political, social and economic activity, I observed and participated in the task of sectoral analysis. Thus I learned to view such activities as banking, agriculture, education, and transportation as inter-related sub-systems. None of my education training had prepared me to accommodate this view. What accommodation skills I had came from having been a political activist and a union organizer. Words like "trade off" or "pay off" never appeared in texts on school administration.

The formal writing which rationalized our activity in foreign relations was eclectic in that it gave lip service to our "good neighbor" public self image while dealing substantively with our enlightened self interest



in stable government, public health, safe cities. There was no time when I ever disconnected those homilies from the balance of payments in any of the books I read and relied on. I studied from The United States and the Developing Economies (New York: Norton, 1964) by Donald Rainis; Max Millikan and Donald Blackmer produced The Emerging Nations (New York: Little Brown & Co., 1961) and Albert Hirschman authored Development Projects Observed (Washington, D.C.: Brookings, 1967). Great insight into individuals and systems came from the field of agriculture. I found Getting Agriculture Moving (New York: Praeger, 1966) by A.T. Mosher to be revealing. I had been reading Foreign Affairs Magazine since 1950 when I began making goodwill tours for the Department of State. A.I.D. sponsored a development institute for mid career foreign service officers and I was chosen to attend. The faculty was divided equally between theoreticians from the University of Pittsburgh's Graduate School of Public and International Affairs and the then current practitioners from the agency. The method of teaching was by simulation models, role playing, case studies, and formal class instruction. The situations were real life and current. The subjects were policy analysis, decision making, implementation and political intelligence concepts and the principles of the use of leverage. We were funded in systems, interventions, and

applications of P.E.R.T. (Time-Cost-CPM-P.P.B.S.).

All of the subject matter was applied and incorporated in on the job situations in foreign and domestic assignments. I engaged in a broad range of activities related to American national interests in international development.

It was during this period of my life that I developed the skill and the habit of collecting data and information on domestic activities which seemed obscure but which were almost invariably related to the interlocked system of social, political and economic activities. I once saw a compilation of data kept on the United States by a "friendly" government and I was amazed at the way data was organized and interrelated. As a result I began to collect information related to the broad areas of human resource development, as a hobby. My own file has two thousand and sixty-seven articles from one hundred twenty-two different books, magazines, journals, and newspapers.

In 1969 I went to work for the Human Resources Administration in New York City. I found that the problems of development abroad were generally replicated at home. The learning and experience accumulated in the foreign service could be applied to urban situations. What surprised me was that so little of the "know-how" utilized abroad was being applied at home.

I had worked with Dr. Mitchell Ginsberg when he was at Columbia, in the training of Peace Corps volunteers for urban development projects in Columbia, Venezuela, and the Dominican Republic. He was the administrator of this "super agency" and his ideas had already been tested in volatile urban settings.

As director of job development for the Manpower and Career Development Agency in New York City I practiced the political management of economic and social decisions.

I became interested in the influence of organized labor on the management of public policy. I researched the topic and taught the subject at the Cornell University/ New York State School of Industrial and Labor Relations. I originally enrolled as a student but I was asked to teach instead when they saw my background. Three books which were most useful to me were The American Labor Movement (Englewood Cliffs, New Jersey: Prentice-Hall, 1944) by Leon Litwack; Roles of the Labor Leader (Chicago: Union Rep., 1969) by Duane Beeler and Harry Kurshenbaum; and American Labor (Chicago: University of Chicago Press, 1960) by Henry Pelling. I read on the subject of management because my job called for me to relate to labor and management and I read the updated versions of urban life along with the Department of Agriculture's bulletins on the rural origins of many city dwellers. Some of the books which were

enlightening were The Management of Organizations (New York: McGraw-Hill, 1967) by Herbert Hicks; The Management of Organizational Behavior (Englewood Cliffs, New Jersey: Prentice-Hall, 1969) by Kenneth Blanchard. These books covered the subject of organizational development which I did not study extensively at Pitt. Also they treated the subject of personnel policy more extensively than my previous exposure; and Making Federalism Work (Washington, D.C.: Brookings, 1969) by James Sunquist and David W. Davis.

My subscription to the Harvard Business Review dates from 1963 when I first entered Federal service full time. With the number of Harvard influenced people in government it proved to be a useful investment. I am especially appreciative of the thorough treatment given a wide variety of contemporary topics by The Annals of the American Academy of Social and Political Science.

When I returned to work for the government I routinely maintained a file on everything which was distributed. It was in the classification of these documents that the pattern for my dissertation began to develop without my having viewed it as such.

I was accepted as a doctoral candidate and felt I could make a strong statement regarding policy, politics and the bureaucracy. I have functioned as a generalist, a specialist, a policy maker and a planner but my problem

was to frame the esoteric and the arcane with the current and the relevant.

I read and re-read such books as The Power Elite (New York: Oxford University Press, 1959) by C. Wright Mills; The New Industrial State (New York: New American Library, 1968) by John Kenneth Galbraith; and Jane Jacob's The Economy of Cities (New York: Random House, 1969).

The U.S. Office of Education is actively participating with the Organization for Economic Cooperation and Development. O.E.C.D. is delving deeply into the role of education in economic development. They are international in scope and have gone into great detail. I have been fortunate to have access to many of their background studies and I have been able to discuss the workshops and task forces attended by O.E. staff members.

I cannot overstate the importance of the doctoral guidance in the organization and presentation of my ideas. My committee forced me to extract the relevant elements of my own experience but they were also quick to suggest readings which illustrated or delineated in academic form those same experiences. I read texts such as Indicators of Social Change (New York: Russell Sage Foundation, 1968) by Eleanor Sheldon and Wilbert Moore and Social Indicators and Social Policy (London: Heinman Educational Books, Ltd., 1972) by Andrew Schonfeld and Stella Shaw. I re-read



Introducing Social Change (Chicago: Aldine, 1968) by John Baker and The Urban Process (New York: Free Press, 1964) by Leonard Riessman. Dr. Jones caused me to reflect on the influence of John Kenneth Galbraith on the economic and social policy which was inherent in the alliance for progress and the "Great Society" concepts.

The crucial factor in my case was the process of altering the pattern of utilizing the results of scholarly research without ever involving, identifying or recognizing the scholar or his school of thought. Unfortunately it is possible to use scholarship extensively while remaining remote from scholars.

The historic pattern in government indicates the practice of turning scholars into bureaucrats. I hope I am part of a new pattern in which the bureaucrat is changed to a scholar for the advantage of the bureaucracy, and ultimately for those whom the bureaucracy was intended to serve.

